
Appendix F – Baseline Document



Gartner

CWS/CMS Baseline Analysis

CWS/CMS Technical Architecture Alternatives Analysis (TAAA)

California Health and Human Services Agency Data Center

23 March 2005

This page intentionally left blank.

Approvals

Project Name: CWS / CMS Technical Architecture Alternatives Analysis (TAAA)

Purchase Order Number: 0000014360

Document Name: CWS / CMS TAAA Baseline Analysis

Approval Signatures:

HHSDC – Lauren Barton, CWS / CMS Deputy Director **Date**

HHSDC – Ceciley Snook, CWS / CMS Contracts Analyst **Date**

Eclipse – Jim Brown, Project Manager **Date**

Revision History	Date	Description	Creator
Initial Version 1.0	December 16, 2004	Initial Submittal	Eclipse
Version 2.0	February 4, 2005	Update to include State Project Manager and Quality Assurance comments.	Eclipse
Version 3.0	March 23, 2005	Update to include Latest Baseline cost data.	Eclipse

Table of Contents

1.0 Introduction.....	1
1.1 Scope	1
1.2 Organization of Document.....	2
2.0 Background.....	5
2.1 California's Child Welfare Services Program.....	5
2.2 History of TAAA Project.....	6
3.0 Organization and Governance.....	9
3.1 Child Welfare Structure and Governance	9
3.1.1 Federal Government.....	9
3.1.2 State Government.....	11
3.1.3 County Government.....	12
3.2 CWS/CMS Organization and Governance	12
3.2.1 CWS/CMS Oversight	13
3.2.2 CWS/CMS Governance.....	15
3.2.3 CWS/CMS Management	16
4.0 Baseline Analysis	20
4.1 Business Baseline Analysis.....	21
4.1.1 Business Functional Overview.....	21
4.1.2 CWS/CMS Overview	33
4.1.3 Federal SACWIS Requirements	36
4.1.4 State of California SACWIS Compliance	38
4.1.5 Key Business Findings	43
4.2 Technical Baseline Analysis	48
4.2.1 Technical History of CWS/CMS.....	48
4.2.2 Overview of End-User Environment.....	51
4.2.3 Application and Technical Architecture Overview	54
4.2.4 Infrastructure Inventory and Data	69
4.2.5 CWS/CMS Operation and Support	79
4.2.6 Key Technical Findings.....	90
4.3 Financial Baseline Analysis	94

4.3.1 State of California Welfare Services Program Funding.....	94
4.3.2 State of California Welfare Services Program Costs	95
4.3.3 CWS/CMS Costs and Benefits	102
4.3.4 Key Financial Findings.....	111
5.0 Next Steps	129
Appendix A – Acronym Guide.....	131
Appendix B – Bibliography.....	143
Appendix C – Federal SACWIS Requirements.....	146
Appendix D – Federal SACWIS Requirements Analysis Document Details	155
Appendix E – HHSDC CWS/CMS TAAA Meeting List.....	176

List of Figures

Figure 1 – Child Welfare Services Organization and Governance	10
Figure 2 – CWS/CMS Organizational Structure.....	14
Figure 3 – Child Welfare Services: High-Level Process	22
Figure 4 – Child Welfare System Process (A1 - A10).....	23
Figure 5 – Child Welfare Process (A12 - A23).....	25
Figure 6 – Child Welfare System Process (A24 - A35).....	30
Figure 7 – CWS/CMS Application Tiers.....	55
Figure 8 – CWS/CMS Workstation Technical Architecture.....	55
Figure 9 – CAD Architecture	59
Figure 10 – Overview of CWS/CMS Technical Infrastructure.....	61
Figure 11 – Single Site Infrastructure and Topology.....	62
Figure 12 – Multi-Site Topology (Example: Kern County).....	63
Figure 13 – HHSDC WAN Network Topology.....	64
Figure 14 – Remote Access Infrastructure	65
Figure 15 – Internet Access Infrastructure	66
Figure 16 – Exchange Infrastructure.....	67
Figure 17 – CAD Infrastructure	68
Figure 18 – Software Distribution Infrastructure	69
Figure 19 – Total Calls Answered and Abandoned – Monthly.....	86
Figure 20 – Seven-Year Ongoing M&O Costs Growth	113
Figure 21 – Actual Basic M&O Expenditures for FFY 1999 – FFY 2003	114
Figure 22 – Variance in Annual M&O Basic Budget	114
Figure 23 – Percent of State Goods and Services Budget Unused (FFY 2001 – FFY 2003)	117
Figure 24 – Percent of Local M&O Budget Unused (FFY 2001 – FFY 2003).....	119
Figure 25 – Use of \$10.5 Million Funding for System Changes (FFY 2001 – FFY 2003).....	121
Figure 26 – Budgeted Versus Actual System Changes (FFY 2001 – FFY 2003).....	122
Figure 27 – Percent of System Change Budget Unused (FFY 2001 – FFY 2003)	123
Figure 28 – Percent of Technical Infrastructure Budget Unused (FFY 2001 – FFY 2003)	124
Figure 29 – Percent of Contracted Goods and Services Budget Unused (FFY 2001 – FFY 2003).....	125
Figure 30 – Cost Benefit Measurement (FFY 1994 – FFY 2008)	127

List of Tables

Table 1 - Emergency Response Telephone Calls Statewide Workload	24
Table 2 – Emergency Response Referrals Statewide Workload	27
Table 3 - Family Maintenance Statewide Workload.....	31
Table 4 – Family Reunification Statewide Workload.....	32
Table 5 - Permanent Placement Statewide Workload	32
Table 6 – Compliant Versus Non-Compliant SACWIS Requirements by ACF	39
Table 7 - SACWIS Compliance Summary by Functional Area	39
Table 8 – California SACWIS Requirement Compliance Details	40
Table 9 – CWS/CMS Technical Infrastructure and System Change History	49
Table 10 – Current Functional Components of CWS/CMS Services	51
Table 11 – Dedicated and Coexistent Counties, Site, and IDs	52
Table 12 – CICS Transaction Overview.....	57

Table 13 – Ad Hoc Reporting Licenses	60
Table 14 – Infrastructure Hardware Summary	70
Table 15 – Infrastructure Software Summary	70
Table 16 – Inventory of Intel Servers	71
Table 17 – Inventory of Sacramento Project Office Servers	72
Table 18 – Inventory of AIX RISC Servers	72
Table 19 – Inventory of Exchange Servers	72
Table 20 – Inventory of EUS HWSW Maintenance Servers	73
Table 21 – Inventory of Infrastructure Servers in Boulder (IBM Owned)	73
Table 22 – Inventory of Infrastructure Servers (State Owned)	73
Table 23 – Inventory of Workstations by County	73
Table 24 – Inventory of Workstation Software	75
Table 25 – Inventory of Host Hardware	76
Table 26 – Software Distribution Tools	86
Table 27 – 2004 System Change Requests	88
Table 28 – State-Level Local Assistance Budget – SACWIS Cost Allocation	97
Table 29 – State-Level Local Assistance Budget – Non-SACWIS Cost Allocation	98
Table 30 – Budgeted CWS/CMS M&O Cost Allocation of SACWIS and Non-SACWIS Funds for FFY 2004	99
Table 31 – Budgeted CWS/CMS Program Costs for SFY 2004/05	102
Table 32 – Actual CMS Program Costs of Potentially Affected Programs for SFY 2003/04	102
Table 33 – Original One-Time Development Costs for CWS/CMS	106
Table 34 – On-Going M&O Costs for CWS/CMS	107
Table 35 – CWS/CMS Benefit Projections and Updates	108
Table 36 – CWS/CMS Cost Benefit Measurement Actuals through FFY 2004 and Projections to FFY 2008	110
Table 37 – SACWIS Development Costs Since 1998	111
Table 38 – Budgeted Versus Actual Additional M&O Costs	116
Table 39 – Budgeted Versus Actual State Goods and Services Costs (FFY 2001 – FFY 2003)	118
Table 40 – Budgeted Versus Actual Local M&O Costs (FFY 2001 – FFY 2003)	120
Table 41 – Budgeted Versus Actual System Changes Costs (FFY 2001 – FFY 2003)	123
Table 42 – CWS/CMS System Life Benefits – Variance from 1998 to 2004	Error! Bookmark not defined.
Table 43 – CWS/CMS System Life Costs and Benefits	128



Introduction

1.0 Introduction

The Eclipse/Gartner Team is working closely with Health and Human Services Data Center (HHSDC) and California Department of Social Services (CDSS) to conduct a Technical Architecture Alternatives Analysis (TAAA) for the Child Welfare Services/Case Management System (CWS/CMS). As part of that overall effort, the Eclipse/Gartner TAAA team was tasked with developing this Baseline Analysis to provide a foundation from which to build and compare each alternative. This document contains the baseline information of the current business, technical, and financial environments of the CWS/CMS and relevant areas of the non-CWS/CMS portions of Child Welfare Services (CWS).

1.1 Scope

The scope of the Baseline Analysis includes gathering data by reviewing existing documentation and conducting interviews and workshops with key stakeholders to:

- Gain a complete understanding of the environment, trends, and strategies within the business, technical, and financial areas;
- Document key business and technical requirements that must be satisfied by the new solution;
- Identify costs and financial trends;
- Analyze findings and requirements;
- Establish a baseline of the complete CWS/CMS environment; and
- Consolidate that data into a comprehensive Baseline Analysis.

Three distinct portions comprise the complete Baseline Analysis:

- **Business Baseline** – The scope of this portion includes documenting the current business functions (SACWIS and non-SACWIS) that are supported by CWS/CMS. Information will be gathered by conducting a series of interviews and workshops with key stakeholders to identify functions and document the high-level processes that are currently automated. During these workshops and interviews, the TAAA team will identify any problems associated with the delivery of business functions to enable the team to analyze the scope and implications of adding SACWIS functionality. For the non-SACWIS compliant functions, the team will conduct interviews and focus group sessions, review existing documentation, and confer with SACWIS experts to understand the new functionality requirements and impact to existing business and technical environments. The team will use all information obtained to assess the impacts of including the SACWIS functional changes relative to each alternative and document them in the TAAA Report deliverable.

- **Technical Baseline** – The scope of this portion is comprised of analyzing and documenting the CWS/CMS:
 - **Function Points** – The TAAA team will gather technical data for use in conducting a function point analysis of the existing application in order to gain a better understanding of the size and impact of change on the existing system. Once the function point analysis has been completed, the results will be used as key inputs to estimate project effort, scheduling, and costs for each of the alternatives. The results of the function point analysis will be documented in the TAAA Report deliverable.
 - **Technical Environment** – The scope of this task includes becoming familiar with the existing hardware, software, and data communications infrastructure, and critically assessing the efficiency and effectiveness of the existing systems to meet defined business needs. Information to be gathered for each component will include, but is not limited to:
 - Identification of current data structure;
 - Identification of internal and external interfaces;
 - Identification of the associated hardware and software layers; and
 - Identification of planned or likely changes to external interfaces.

The Project Team will use the gathered information to create a physical model of the current system, which will be validated with key stakeholders through a series of workshops and interviews. Additional information on the existing system will be described in the TAAA Report deliverable, which includes an analysis of the current system's ability to meet the required business needs.

- **Financial Baseline** – In this task, the TAAA team will work with State staff to develop a detailed understanding of the financial metrics associated with business and technical costs of current systems. Using available budget information, time accounting information, existing MIS and business system metrics, and cost models, current CWS/CMS costs will be captured and documented. This high level snapshot of the budget, along with key financial trends and analysis, will be documented as the financial baseline to be used as the measure against which each alternative will be compared.

Each baseline has been compiled into this comprehensive document that provides a baseline of the current environment for CWS/CMS and will be used as a point of comparison and validation for all alternatives considered during the completion of the TAAA.

1.2 Organization of Document

The following describes the overall organization and content of this document:

- **Section 1 - Introduction** – This section describes the overall purpose and scope of the Baseline Analysis.
- **Section 2 - Background** – This section provides an overview of the Child Welfare Services program and the history of the CWS/CMS System in relation to the TAAA Project.

- **Section 3 - Organization and Governance** – This section describes the federal, State, and county organizations as they relate to governing and/or participating in the CWS program and CWS/CMS.
- **Section 4 - Baseline Analysis** – This section contains the baseline analysis for the business, technical, and financial areas, highlighting the current environments, processes, and costs, key findings.
- **Section 5 - Next Steps** – This section identifies the next key steps in the TAAA project.



Background

2.0 Background

2.1 California's Child Welfare Services Program

The Child Welfare Services program is a federally-mandated program that is operated by each of the 50 states. California is one of 11 states that operate on a state supervised/county-administered model of governance for the Child Welfare Services Program. Under this system, each of California's 58 individual counties administers its own child welfare program, while the California Department of Social Services (CDSS) monitors and provides support to counties through regulatory oversight, administration, and the development of program policies and laws. The challenge in this approach is balancing state standards that must be consistent with federal law with local outcomes that are tailored to meet the needs and values of diverse communities and populations in the state.

California is taking action to change how child welfare services are delivered in California, so that:

Every child in California lives in a safe, stable, permanent home, nurtured by healthy families and strong communities.

California's Child Welfare Services program serves children who have been abused or neglected, reuniting them with their families whenever possible. When a family cannot be rehabilitated, CWS finds alternative placement for that child or children. California is dedicated to providing a continuum of programs and services aimed at safeguarding the well-being of children and families in ways that strengthen and preserve families, encourage personal responsibility, and foster independence. California's Child Welfare Services program is a broad program that focuses on:

- Preventing child abuse.
- Protecting and promoting the well-being of children who have been abused or neglected by their parents or other caretakers.
- Rehabilitating abusive or neglectful parents or other caretakers.
- Ensuring safe, permanent homes for children who have been abused or neglected (by reuniting them with their parents or finding adoptive homes, legal guardians, or other permanency options).
- Assisting older children to develop independent living skills so that they can transition to healthy adulthood.

2.2 History of TAAA Project

The CWS/CMS was originally implemented in 1996, with continued development through roll-out in 1998. Since that time, the State has been in the maintenance and operations (M&O) phase of the project, with only minimal new development activity occurring concurrently. The system supports all 58 California counties, the California Department of Social Services, and has over 19,000 users identified. Since its implementation, the system has incorporated all but four (4) of the most significant and critical SACWIS functionality required by federal requirements; specifically:

- Adoption case management;
- Interfaces for Title IV-A, Title IV-D, Title IV-E and Title XIX data exchange;
- Automated Title IV-E eligibility determination; and
- Financial management (Out-of-Home Care and Adoption Assistance Program Payments).

The system's current technical architecture is comprised of technologies and concepts that were common for large mission critical systems in the mid 1990s. The limitations of the current system are that it:

- Depends significantly on legacy application technologies that are expensive to maintain and restricts strategies to meet program goals;
- Does not lend itself to enhancement using emerging technologies; and
- Does not satisfactorily meet the changing business and technical needs of the system's end users.

In June 2002, the State published the CWS/CMS Strategic Plan, which outlined the need for modernizing CWS/CMS to a web services based technical architecture. Subsequently, the CWS/CMS Project Office, with technical assistance from industry expert Gartner Group, developed the Technical Architecture Strategic Plan (TASP). This document, which was published in April 2003, outlined a rationale and conceptual framework for fulfilling many of the technical projects and policy initiatives identified in the CWS/CMS Strategic Plan. In particular, the TASP identified a conceptual framework for modernizing and evolving the current CWS/CMS to a web-based technical architecture, relying on the assumption that evolving to a new architecture over time was the most cost effective approach for building a modern, web-based CWS/CMS.

Although the TASP provided a framework for evolving the CWS/CMS technical architecture, the document did not actually consider building an entirely new CWS/CMS technical architecture since no studies had been conducted to determine the cost or programmatic benefits of that approach. Rather, the TASP conceived of replacing the user interface and application logic layers of the CWS/CMS technical architecture while keeping the majority of the database layer intact.

Since release of the TASP, the State and ACF have continued discussions regarding the future of CWS/CMS. In a March 30 to April 1, 2004 meeting in Washington, DC between the State and ACF, the two parties agreed on an approach for assessing the modernization of the CWS/CMS technical architecture. At the conclusion of this meeting, the parties agreed that the most

expeditious means of determining the best technical architecture solution for the future CWS/CMS would be to conduct a TAAA.

The State has outlined an approach for analyzing the costs and benefits of alternative architectures that will address the limitations of the current system and the outstanding SACWIS requirements. The State believes that re-architecting the system may reduce maintenance costs, reduce the time and costs required for system upgrades, provide improved functionality and user access, allow the use of commercial off the shelf software, permit incorporation of web service components, and produce an open system architecture that is significantly easier to support than the existing system.

The State decided to conduct an independent analysis of the best approach to solving the problems and challenges faced by the existing CWS / CMS technical architecture. This analysis will be performed by the TAAA team, which possesses expertise in large system technical architecture alternatives analysis. A primary objective of the TAAA will be to provide a Total Cost of Ownership (TCO) comparison between each of the three (3) alternatives defined by the State in the SOW, which include:

- Continue with the Current CWS / CMS Technical Architecture
- Evolve the Current CWS / CMS Technical Architecture to a Web Services Based Technical Architecture Over Time
- Continue M&O of the Current CWS / CMS and Simultaneously Build a New System Using a Web Services Based technical Architecture

This document is being produced as part of the overall analysis process. This baseline analysis will be used as a basis on which to build costs, validate assumptions, and determine overall impact for each alternative.

A vertical bar on the left side of the slide with an orange-to-white gradient.

Organization and Governance

3.0 Organization and Governance

This section describes the organization and governance structure for the California Child Welfare Services and the CWS/CMS Project.

3.1 Child Welfare Structure and Governance

The child welfare system is made up of multiple federal, state, and county agencies, juvenile courts, and private social service agencies, all of which share the goals of providing for the safety, permanence, and well-being of children and their families. The framework that governs the roles and responsibilities of the agencies and organizations is described on the following page.

3.1.1 Federal Government

The federal government is responsible for developing and implementing national policy regarding child welfare by issuing regulations, overseeing state performance, and conducting compliance reviews. It also allocates federal funds for child welfare and related programs to state, county, city, and tribal governments and public and private local agencies.

The Department of Health and Human Services (DHHS) is the principal federal agency that regulates and partially funds services to maltreated children and their families. Within DHHS, the Administration for Children and Families and the Centers for Medicaid and Medicare Services oversee services provided to children and families involved with the child welfare system. Federal funding for child welfare programs requires state matching funds; states, in turn, may require matching funds from counties.

Responsible for some 60 programs that provide services to children and families, the Administration for Children and Families (ACF) assists state, county, city, and tribal governments and public and private local agencies to provide services through funding allocations, policy direction, and information services. ACF also supports state programs to provide foster care and adoption assistance; administers the state-federal welfare program, Temporary Assistance to Needy Families (TANF); administers the national child support enforcement system and the Head Start program; and provides funds to assist low-income families pay for child care. Within ACF, the Children's Bureau funds a number of programs that focus on preventing abuse, protecting children from abuse, and finding permanent placements for children who cannot safely return to their homes.

The Centers for Medicaid and Medicare Services (CMS) administers the Medicaid program (known as Medi-Cal in California) that provides health care coverage to foster children.)

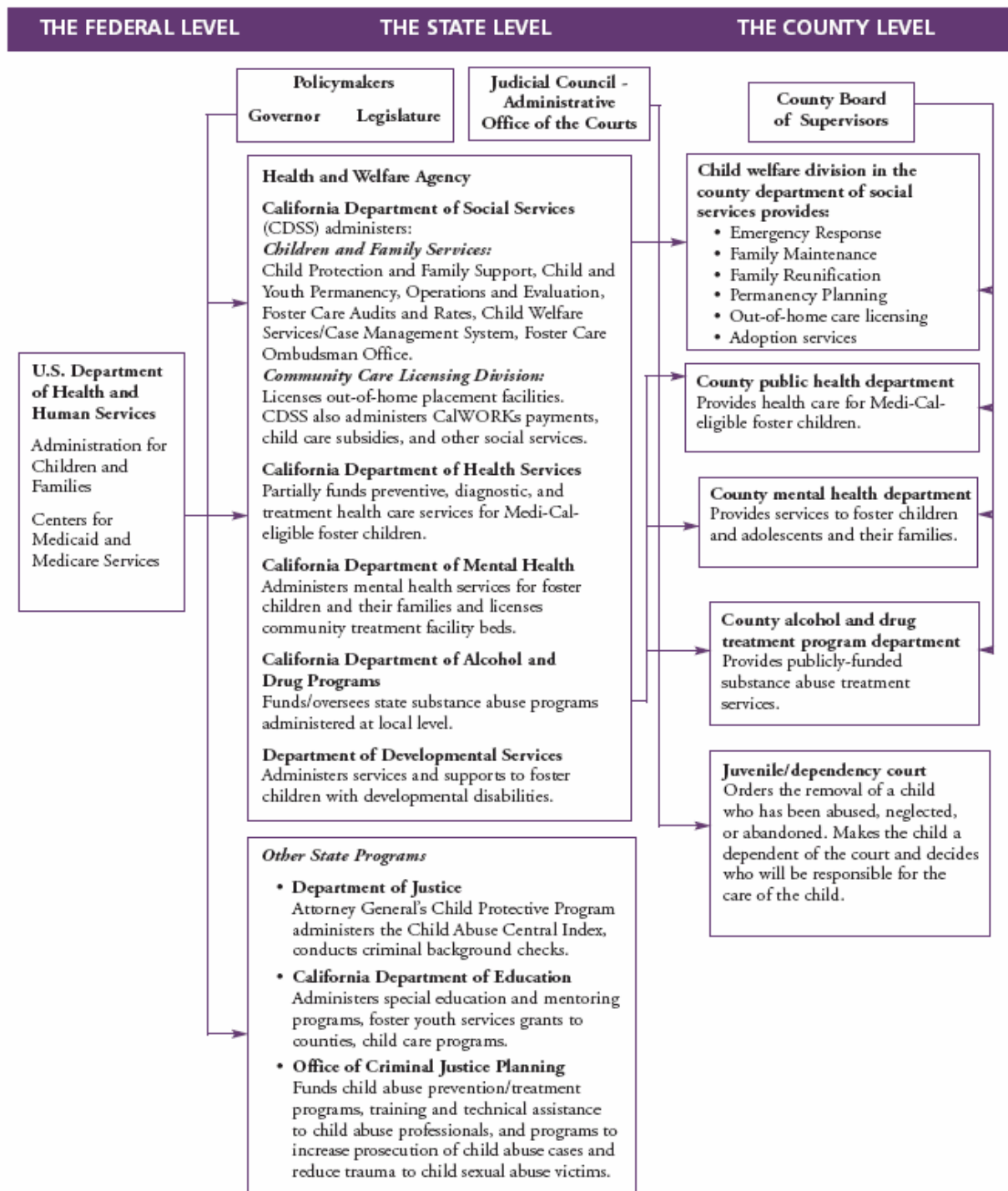


FIGURE 1 – CHILD WELFARE SERVICES ORGANIZATION AND GOVERNANCE

3.1.2 State Government

California Department of Social Services, or CDSS, is the primary entity responsible for the state's child welfare program. Among its many roles, CDSS:

- Receives federal funding that provides partial support for state and county child welfare programs;
- Develops and oversees programs and services for at-risk children and families;
- Licenses out-of-home (foster) care providers;
- Secures state and county funds for services to children in out-of-home (foster) care;
- Provides direct service adoption programs in some counties;
- Conducts research; and
- Provides oversight and evaluation of local and statewide demonstration projects and statewide training for social workers.

The two divisions within CDSS responsible for providing child welfare and foster care services are:

- **Children and Family Services Division** – The Children and Family Services division provides leadership and oversight of county and community agencies in implementing child welfare programs through training, technical assistance, incentives, and program evaluations. The division consists of six branches:
 - Child Protection and Family Support develops policy and practice for child abuse prevention, Emergency Response, and Family Maintenance; provides training services to counties; and provides oversight of the Indian Child Welfare Act.
 - Child and Youth Permanency develop policy and practice for child welfare programs related to permanency, including Family Reunification, guardianship, and adoption.
 - Operations and Evaluation conducts county-level compliance reviews, provides direct services adoption programs for 30 counties, and develops quality assurance policy.
 - Foster Care Audits and Rates audits and sets rates for group homes and Foster Family Agencies.
 - Child Welfare Services/Case Management System, or CWS/CMS, maintains the centralized statewide computer system with automated case management and information-reporting functions that provide data to monitor and evaluate outcomes.
 - Foster Care Ombudsman Office resolves concerns related to the care, placement, and services provided to foster children and youth and provides leadership, direction, and coordination with Ombudsman offices at the county level.
- **Community Care Licensing Division** – The Community Care Licensing Division (CCLD) licenses four different types of out-of-home placement settings for children: foster family homes, Foster Family Agencies, group homes, and Community Treatment Facilities. CCLD monitors facility safety standards, food storage and preparation, available medical services, staff qualifications and training, supervision, and documentation requirements. CCLD also licenses adoption agencies.

3.1.3 County Government

Counties are the primary governmental bodies that directly interact with children and families to address child abuse and neglect. Children and families involved in the child welfare system receive services from several county-level departments:

- The county department or agency of social services through its child welfare division administers, partially funds, and provides local child welfare and foster care services under Sections 300 et seq. and 16500 et seq. of the California Welfare and Institutions Code. The child welfare division investigates reports of child abuse, screens and assesses families, provides case management and other services to help families stay together, places and monitors foster children, and provides adoption services.
- The county public health department provides preventive, diagnostic, and treatment health services for Medi-Cal-eligible foster children at county and community-based clinics. Many counties also hire, fund, and supervise public health nurses (PHNs) to oversee the physical health, behavioral, dental, and developmental needs for all children in foster care.
- The county mental health department provides services to children and adolescents who are in the child welfare system.
- The county alcohol and drug treatment services department provides detoxification, outpatient, and residential services through county and/or community-based treatment programs to individuals with substance abuse problems.
- The juvenile dependency court determines through petitions filed by the child welfare agency and hearings whether a child can remain safely at home while the family receives services to help it stay together, or whether to remove a child from home and assign custody and care responsibilities to the social services agency.

County welfare departments administer the Child Welfare Services program under federal and state statutes and regulations and are responsible, either directly or through providers, to obtain or provide interventions and services to address child abuse and neglect and increase well-being of children and families. The four traditional service components of the program were established through state legislation (Senate Bill 14) enacted in 1982 to implement federal requirements under Public Law 96-272:

- Emergency Response
- Family Maintenance
- Family Reunification
- Permanent Placement

3.2 CWS/CMS Organization and Governance

During the long-term planning efforts, the CWS/CMS governance structure was reorganized to move away from managing change based on work group advocacy and individual county requests and toward focusing on the longer-term view. One of the key changes to the organization and governance was the creation of the CWS/CMS Oversight Committee and its charter to be the body responsible to both the California Department of Social Services (CDSS) and to the County Welfare Directors Association (CWDA) for the governance and management

of CWS/CMS. The CWS/CMS Oversight Committee, the CWDA Children's Committee, and Regional User Groups are the major links in that communication chain. With open dialogue among these groups, the direction of and changes to CWS/CMS can best be identified and prioritized through a change management process that will serve the operational and programmatic goals that have been established for CWS in the State of California.

The Project's organization chart depicted in the following figure represents the CWS/CMS oversight, governance, and management organizational structure. Also depicted on the chart is the external oversight function of multiple State-level agencies. The following summarizes the key aspects of the organization and governance composition:

- The Oversight activities focus on both State approval of application maintenance requests and on the activities necessary to ensure quality and timeliness of the Maintenance and Operations vendor.
- Governance is represented by the CWS/CMS Oversight Committee (OSC) and the California Department of Social Services (CDSS). CDSS contracts with the Health and Human Services Data Center (HHSDC), via interdepartmental agreement, for the management of the CWS/CMS
- Project Management of CWS/CMS is the responsibility of a designated Deputy Director, who staffs the Project through a combination of State, vendor, and consultant resources. The Deputy Director is responsible for all Project activities performed by vendor, consultant, and State staff. The Deputy Director manages the scope, cost, and schedule of all project activities utilizing industry Best Practices¹.
- The independent Quality Assurance (QA) vendor works with the Project Manager to ensure the Project is managed according to Best Practices, also providing independent review of Project deliverables and reporting to the external State control agencies.

3.2.1 CWS/CMS Oversight

3.2.1.1 California Department of Finance (DOF)

The California Department of Finance manages the State of California budgetary investment in Information Technology (IT) resources through the Office of Technology Review, Oversight and Security (OTROS). For IT projects, the OTROS validates cost-benefit and economic analyses for IT investments, ensuring payback on investments. The OTROS, through its Statewide IT Project Oversight Framework, provides a system of graduated oversight for all reportable IT projects, establishes statewide standards for project management and project oversight activities, and describes how DOF will assess Department/Agency IT project management and oversight practices. The OTROS also establishes security, risk management and operational recovery policy and then provides oversight for these areas.

¹ Refer to HHSDC Best Practices Web site at <http://www.bestpractices.cahwnet.gov/>

CMS/CWS Organizational Structure

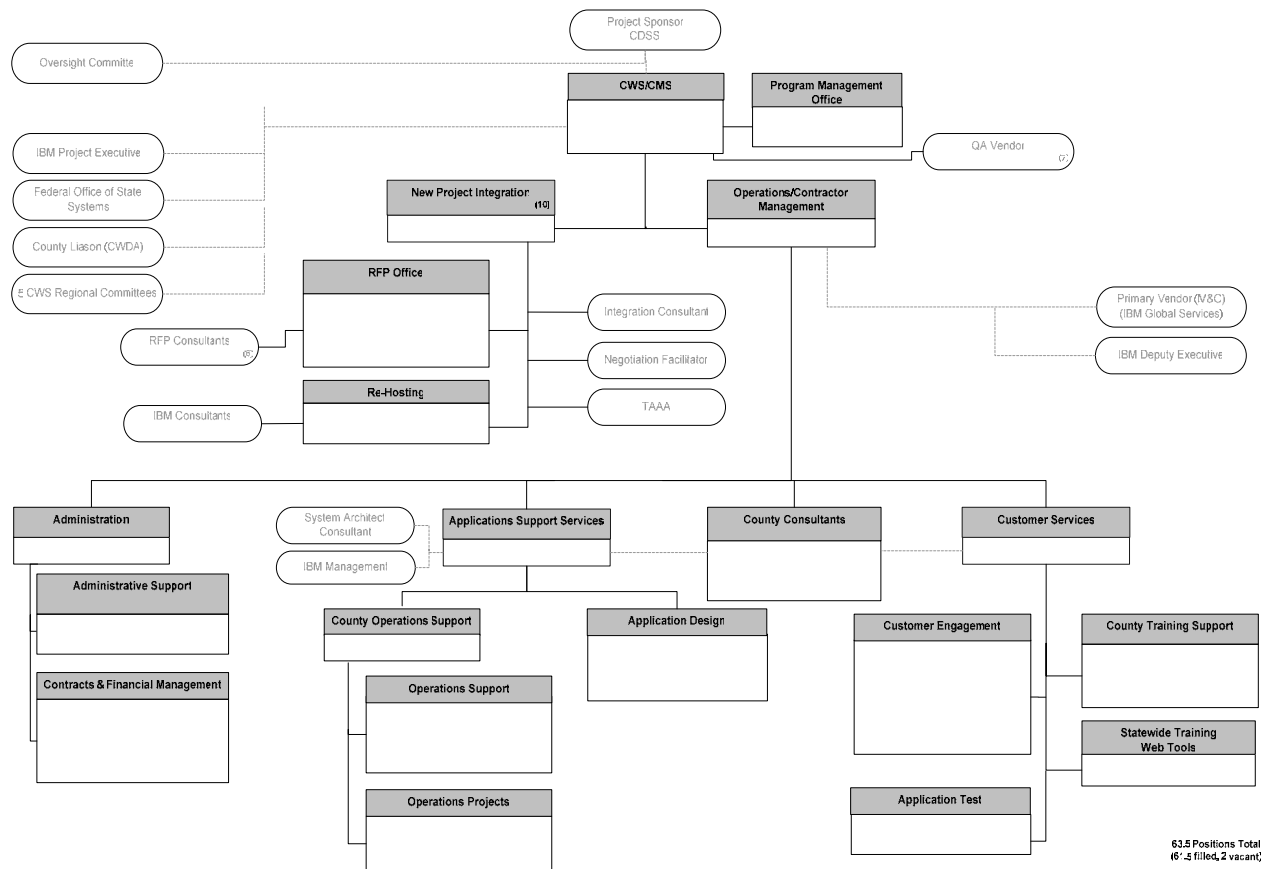


Figure 2 – CWS/CMS Organizational Structure

3.2.1.2 California Health & Human Services Agency

The California Health and Human Services Agency (CHHSA) administers State and Federal programs for health care, social services, public assistance, job training and rehabilitation. The Secretary of the CHHSA is appointed by the Governor and serves as a member of the Governor's Cabinet. In doing so, the Secretary and the CHHSA help the Administration carry out its objectives and policies regarding aforementioned State and Federal programs. The CHHSA is the umbrella Agency that oversees the work of 14 Boards and Departments, which administer and/or direct services to the public. These Departments include the California Department of Social Services (CDSS) and the Health and Human Services Data Center (HHSDC). The CHHSA performs Program Policy oversight while providing direction to the State agencies on various programmatic fiscal issues.

The CHHSA provides guidance on Child Welfare Services (CWS) programs and on CWS/CMS. Specifically, the CHHSA Agency Information Officer (AIO) will serve as the Contract Manager for the CWS/CMS Executive IV&V; approves all State-level Information Technology project

documents before forwarding them on to State control agencies; and meets monthly with CDSS and HHSDC to provide direction on critical Project issues.

3.2.1.3 California Department of General Services (DGS)

The Department of General Services provides State of California's government entities with centralized procurement and acquisition services. The role of DGS related to CWS/CMS is to carry out the statutory responsibility for procurement of Information Technology goods and services, including approval of the acquisition methods used and the establishment and interpretation of related policies, processes, and procedures. DGS reviews all proposed State IT projects; including CWS/CMS, to ensure the procurement represents a prudent investment of State resources while meeting the State's business needs. DGS directly administers every State IT procurement effort over \$500,000.00. DGS ensures fiscal and program integrity in the area of acquisitions through review and approval of CDSS, HHSDC, and all other State agency procurements to ensure compliance with State statutes and procurement regulations. The DGS carries out its authority through California's Public Contract Code, Government Code, State Contracting Manual, and the State Administrative Manual (SAM).

3.2.2 CWS/CMS Governance

3.2.2.1 California Department of Social Services (CDSS)

The California Department of Social Services provides program sponsorship of specific Statewide Health and Human Services automated programs, including CWS/CMS. It also provides program oversight and guidance to integrate CWS/CMS into program and policy requirements for the Child Welfare Services (CWS) program run by county CWS agencies.

3.2.2.2 CWS/CMS Oversight Committee (OSC)

Representatives from CDSS, HHSDC, and California's 58 counties comprise the CWS/CMS Oversight Committee. The Committee is chaired by the CDSS Deputy Director of Children and Family Services. The CWS/CMS Oversight Committee is comprised of eleven members:

- Eight county representatives:
 - Five regional representatives,
 - One representative from the County of Los Angeles,
 - One representative for the 20 small counties, and
 - One Director of a county social service agency;
- The Health and Human Services Agency Data Center (HHSDC) Project Manager;
- The HHSDC Executive County Liaison; and
- The CDSS Deputy Director for Children and Family Services.

The OSC meets on a monthly basis and ensures that the CWS/CMS supports the mission of Child Welfare Services; policy direction is set overall so that CWS/CMS meets the needs of its customers; and the CWS/CMS Strategic Plan and Annual Plan are developed and updated, as required.

3.2.3 CWS/CMS Management

3.2.3.1 Systems Integration Division Assistant Director

The Systems Integration Division (SID) Assistant Director, under direction from the California Health and Human Services Data Center's (HHSDC) Director plans, directs, coordinates, and monitors activities of the five Systems Integration projects. These projects include the following: Statewide Automated Welfare System (SAWS), Interim Statewide Automated Welfare System (ISAWS), Case Management Information and Payrolling System (CMIPS), Electronic Benefits Transfer (EBT) and CWS/CMS. The SID Assistant Director provides general oversight of managing the maintenance, operations, technical support activities, and directing the work of the various project vendors.

The SID Assistant Director serves as Chair of the CWS/CMS State and Federal Committee. This Committee includes executive level staff from HHSDC, Department of Social Services (CDSS), and the federal Administration for Children and Families (ACF). The committee provides a forum for state and federal agencies to facilitate communications and to forge agreements on project strategic goals, to prioritize tasks to reach those goals given resource constraints, and to expedite issue resolution.

3.2.3.2 Deputy Director

The Child Welfare Services/Case Management System (CWS/CMS) Deputy Director, under general direction from the SID Deputy Director within the HHSDC plans and directs activities of the CWS/CMS Project and in conjunction with CDSS, County, State, and vendor, facilitates an effective multi-disciplinary project team.

3.2.3.3 Assistant Deputy Director

The CWS/CMS Assistant Deputy Director is in charge of all day-to-day operations and is accountable for adherence to all Project policies, processes and procedures. In addition, the Assistant Deputy Director is responsible for managing the CWS/CMS maintenance, operations, technical support activities, and directing the work of the CWS/CMS maintenance vendor. In addition, the Assistant Deputy Director provides back up to the Deputy Director.

3.2.3.4 RFP Office

The procurement to acquire a subsequent vendor to maintain and operate the CWS/CMS started in 1997 when the CWS/CMS Project Office began working with State and Federal control agencies to develop the Request For Proposal (RFP). The RFP was published in 1999, and draft responses were reviewed in the fall of 2000. Since that time, a number of events have transpired: including many complex changes to California's procurement rules, issues raised by the ACF regarding State contracting processes, and a series of Independent Verification and Validation (IV&V) recommendations resulting from a federally-required review of the procurement effort processes and strategies. These events have resulted in a significant increase to the scope of this procurement, as well as a corresponding increase in the procurement timeline. Moreover, ACF has directed the State to address all IV&V recommendations in the RFP development effort or provide adequate justification for those it chooses not to investigate.

3.2.3.5 Project Librarian

The Project Librarian is responsible for the planning, development, coordination, monitoring and maintenance of the CWS/CMS Project Library. On an on-going basis, the Project Librarian must maintain: the oversight and performance duties for all aspects of the project's documentation management, the record retention process of electronic and hardcopy project files, and the development and maintenance of the project record retention schedule. In addition, the Project Librarian develops project document management plans, serves as a documentation resource to project staff and to CWS/CMS stakeholders, provides training in the use of the library tools, and utilizes automated tools for issue tracking and document management.

3.2.3.6 Administration Unit

The Administration Manager, under general direction from the CWS/CMS Assistant Deputy Director: plans, directs, coordinates, and monitors the activities of the CWS/CMS Administration Unit. Administrative duties cover, but are not limited to the following: organize and develop uniform procedures, policies, plans and objectives for the administrative support system (personnel, training, travel, and office management); manage the project's budget, contract, and state/federal funding activities and reports; coordinate funding activities between CDSS, CWS/CMS stakeholders, and the vendor.

The CWS/CMS Administration Unit functions as a multidisciplinary team providing day-to-day administration and management for a variety of functions such as general office support, CWS/CMS Project budget development, expenditures monitoring and tracking, contract development and analysis, county Advance Planning Documents (APDs) review and approval, and personnel actions processing. The CWS/CMS Administration Unit also maintains the CWS/CMS Project Office Library, including the administration of automated tools.

3.2.3.7 Application Delivery Unit

The Child Welfare Services Case Management System (CWS/CMS) Application Delivery Manager falls under the general oversight of the CWS/CMS Assistant Deputy Director. The Application Delivery Manager works directly with the CWS/CMS maintenance vendor to manage all technical support activities, directs the vendor's work, monitors the vendor's compliance with contract Service Level Agreements and Work Authorization deliverables, and monitors several secondary vendor contracts. In addition, the Application Delivery Manager has the oversight responsibility for the Operations and Customer Relations units at the CWS/CMS Project Office.

The Operations unit is responsible for the operations and accountability of the system configuration and availability, the development and administration of the CWS/CMS Web site, major infrastructure projects throughout the state, and the Project Office LAN.

The Customer Relations unit is responsible for support and communication with the counties, developing the CWS/CMS Web site content, monthly personal visitations to all counties in order to facilitate communication and issue tracking/resolution.

3.2.3.8 Operations Unit

The Operations manager is responsible for the oversight and supervision of the Operations staff and has senior responsibility for vendor management and oversight as well as the development of strategic plans and policy decisions.

The CWS/CMS Operations Unit is responsible for the management and oversight of CWS/CMS technical operations. In general, this involves Local Area Network (LAN) support, Wide Area Network (WAN) support, system infrastructure support, web development and maintenance, system software/hardware review and procurements, and vendor oversight.

3.2.3.9 Customer Relations Unit

The Customer Relations Unit provides customer support for CWS/CMS, and currently includes:

- **System Support Consultants (SSCs)** - Primarily assigned to County Customer support, SSCs are primarily assigned to provide support to County Customers with CWS/CMS problem resolution or escalation, business process re-engineering efforts, change management, and maintenance and operation (M&O) processes.
- **Communications Coordinator** - This SSC coordinates communication and information sharing to ensure that incoming and outgoing information is conveyed and received efficiently and effectively.

3.2.3.10 Application Support Unit

The Application Support Unit consists of CWS/CMS State staff and county staff knowledgeable of the Application, data model and the business needs. The main activities performed by the Application Support Unit are listed below:

- Oversee the change management process
- Develop Business Requirements documents
- Develop Work Orders
- Develop As Needed APDs
- Determine acceptability of design
- Perform and monitor Application change testing
- Process Data recovery requests
- Provide end user support when requested

In addition, Application Support is a resource to the vendor when questions arise regarding intent of a change or problem call to the Vendor's (Boulder) Help Desk. The county staff positions ensure CWS/CMS sensitivity to county business processes and keep the system responsive to end user needs.

A vertical bar on the left side of the page with a gradient from light orange at the top to dark orange at the bottom.

Baseline Analysis

4.0 Baseline Analysis

The following three sections document the:

- **Business Baseline** – This section documents the current business functions (SACWIS and non-SACWIS) that are supported by CWS/CMS, CWS/CMS's level of compliance with SACWIS functionality, and key business findings.
- **Technical Baseline** – This section documents the components of the current technical environment (i.e., existing hardware, software, and data communications infrastructure), which will be critical to assessing the efficiency and effectiveness of the existing systems and used later for building and evaluating alternatives.
- **Financial Baseline** – This section documents the costs and benefits currently associated with the business and technical costs of current systems, costs that may be affected by the implementation of any specific alternative, and key financial findings and cost metrics.

All information contained within this section will be used as a foundation on which to build and analyze each of the architecture alternatives.

4.1 Business Baseline Analysis

This section details the business baseline information by describing the overall functions of the CWS process in the state of California, describing the CWS/CMS that supports these functions, and describing the current status of SACWIS compliance. Specifically, this section addresses:

- Business Functional Overview
- CWS/CMS Overview
- Federal SACWIS Requirements
- State of California SACWIS Compliance
- Key Business Findings

4.1.1 Business Functional Overview

The county welfare department administers the Child Welfare Services (CWS) program either directly or through providers. From a high-level perspective, the CWS program consists of four traditional service components that are as follows:

- **Emergency Response (ER)** – the initial intake point for the program in which social workers respond to and investigate reports of abuse or neglect;
- **Family Maintenance (FM)** – provides services to prevent abuse or neglect while the child remains in his or her home;
- **Family Reunification (FR)** – provides services to enable safe return of the child to the family while the child is in temporary care (e.g., foster care); and
- **Permanent Placement (PP)** – provides management and placement services to provide a permanent long-term alternative (i.e., guardianship or adoption) to children in temporary care who cannot be returned to their families.²

A high-level picture of the CWS process is depicted below.

² SACWIS Functionality Analysis Report, Title IV-A Interface, July 27, 2001, Logicon - A Northrop Grumman Company

Child Welfare Services: High-Level Process

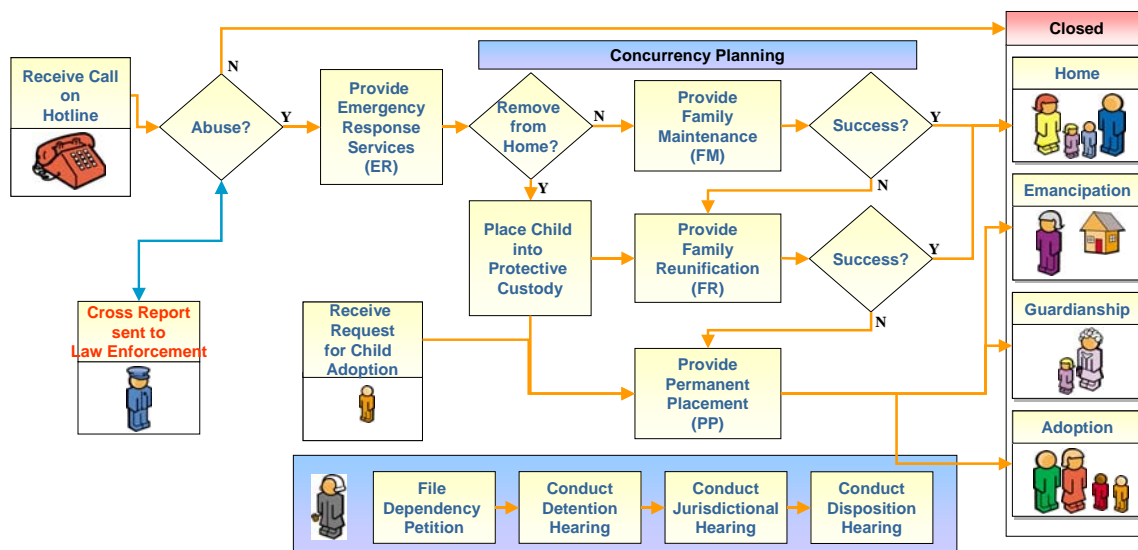


Figure 3 – Child Welfare Services: High-Level Process

The county welfare department administers the Child Welfare Services (CWS) program either directly or through providers. The functional business process is generally started when a call comes through the abuse hotline and ends when a child is returned to their home, provided emancipation, appointed guardianship, or adopted.

As of September 2003, the California CWS workload included:

- 730,000³ children with one or more referrals; and
- 74,000⁴ children in foster care.

To gain an overall understanding of the activities associated with each of the four traditional service components (i.e., Emergency Response, Family Maintenance, Family Reunification and Permanent Placement.), three process flow diagrams with associated narrative have been provided below. The three process flow diagrams have been written in a sequential nature. However, these activities can be performed in a series of sequences and are at times circular in nature.

³ SFY 2005/06 Governor's Budget cited the caseload at approximately 730,000.

⁴ SFY 2005/06 Governor's Budget cited the average monthly number of children aided by Foster Care as 74,283.

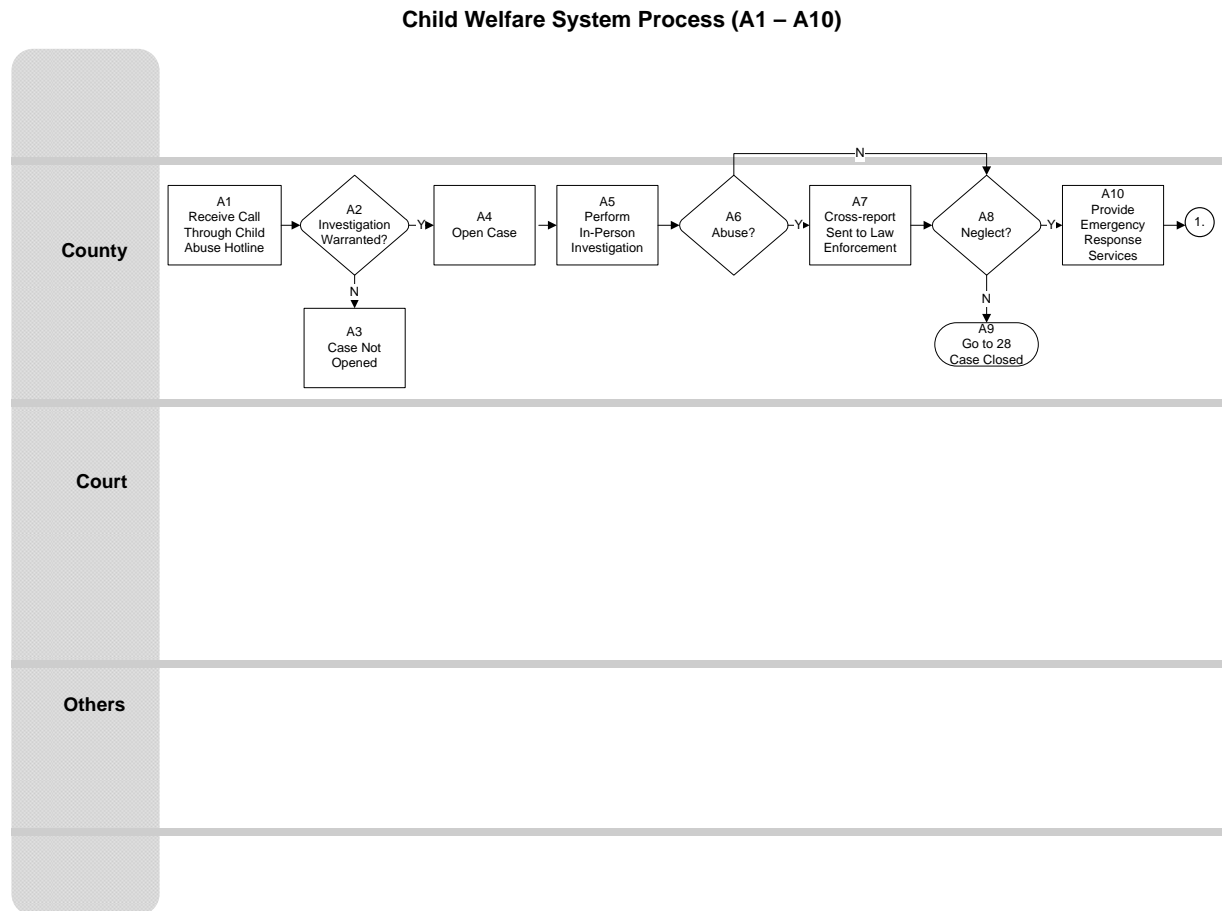


Figure 4 – Child Welfare System Process (A1 - A10)

A-1. Receive Call Through Child Abuse Hotline

The CWS process starts when a call comes into the Emergency Response (ER) Hotline. Each county has its own telephone number for reporting suspected abuse and this line is, generally, a 24-hour Hotline or crisis line. When a call comes into the ER Hotline, it is first screened by a Hotline social worker to determine if there is enough evidence to warrant an in-person investigation.

Key questions at this stage include:

- Is the child in imminent danger?
- What is the risk of maltreatment?
- What are the family's strengths and resources?
- Does the suspected child abuse meet the legal definition of abuse or neglect?
- Is an in-person response required and, if so, how quickly?

The following chart displays the Emergency Response Telephone Calls Statewide workload statistics.

Table 1 - Emergency Response Telephone Calls Statewide Workload⁵

Month / Year	Telephone Calls Received	Information Insufficient No Action Taken
December 2000	25,083	118
June 2001	29,318	220
December 2001	25,487	144
June 2002	29,684	157
December 2002	28,083	128
June 2003	30,102	144
December 2003	27,044	135
June 2004	31,279	184

A2. Investigation Warranted?

The ER social worker determines, based on information received during the call, whether there appears to be sufficient evidence of neglect or abuse.

A3. Case Not Opened

If sufficient evidence does not exist to suspect neglect or abuse, a case is not opened and the process is completed. This is referred to as being “evaluated out of the system”, and the family is referred to any appropriate voluntary services in the community.

A4. Open Case

If there appears to be sufficient evidence of abuse or neglect, then a case is opened and an investigation begins.

A5. Perform In-Person Investigation

The ER social worker determines if an investigation needs to occur immediately or within 10 days.

- If the ER social worker determines that a child appears to be at imminent or substantial risk of abuse or neglect due to circumstances such as sexual abuse, physical or mental injury, or an absent caretaker, state law requires county child welfare agencies to provide an immediate and in-person response within 2 hours.
- If the ER social worker determines that there appears to be evidence of abuse or neglect but the child is not in imminent danger of harm, an in-person investigation must be completed within 10 calendar days.

Interviews of the parent or caretaker and the child are conducted by an ER social worker responding individually or as part of a multidisciplinary team, possibly including law enforcement or public health.

A6. Abuse?

If the ER social worker determines abuse is present, a cross-report is sent to Law Enforcement. If the ER social worker determines abuse is not present, a cross-report is not filed and the ER social worker begins to look for Neglect.

⁵ Pre-placement Preventive Services Emergency Response and Family Maintenance Activity Monthly Reports

A7. Cross-report Sent to Law Enforcement

If the ER social worker determines abuse is present, a cross-report is completed and is completed and filed with local Law Enforcement.

A8. Neglect?

If neglected and/or abused, the child is provided with emergency response services. Several outcomes can occur as a result of the investigation: the case is closed, the child remains at home and his/her parents accept services, or the child is removed from the parents.

A9. Case Closed

If the investigation finds no evidence of child maltreatment (the report was unfounded) or insufficient evidence to determine whether child maltreatment occurred (the report was inconclusive), the case is closed.

A10. Provide Emergency Response Services

If abuse or neglect is present, the CWS is responsible for providing Emergency Response Services to the child.

Child Welfare System Process (A12 – A23)

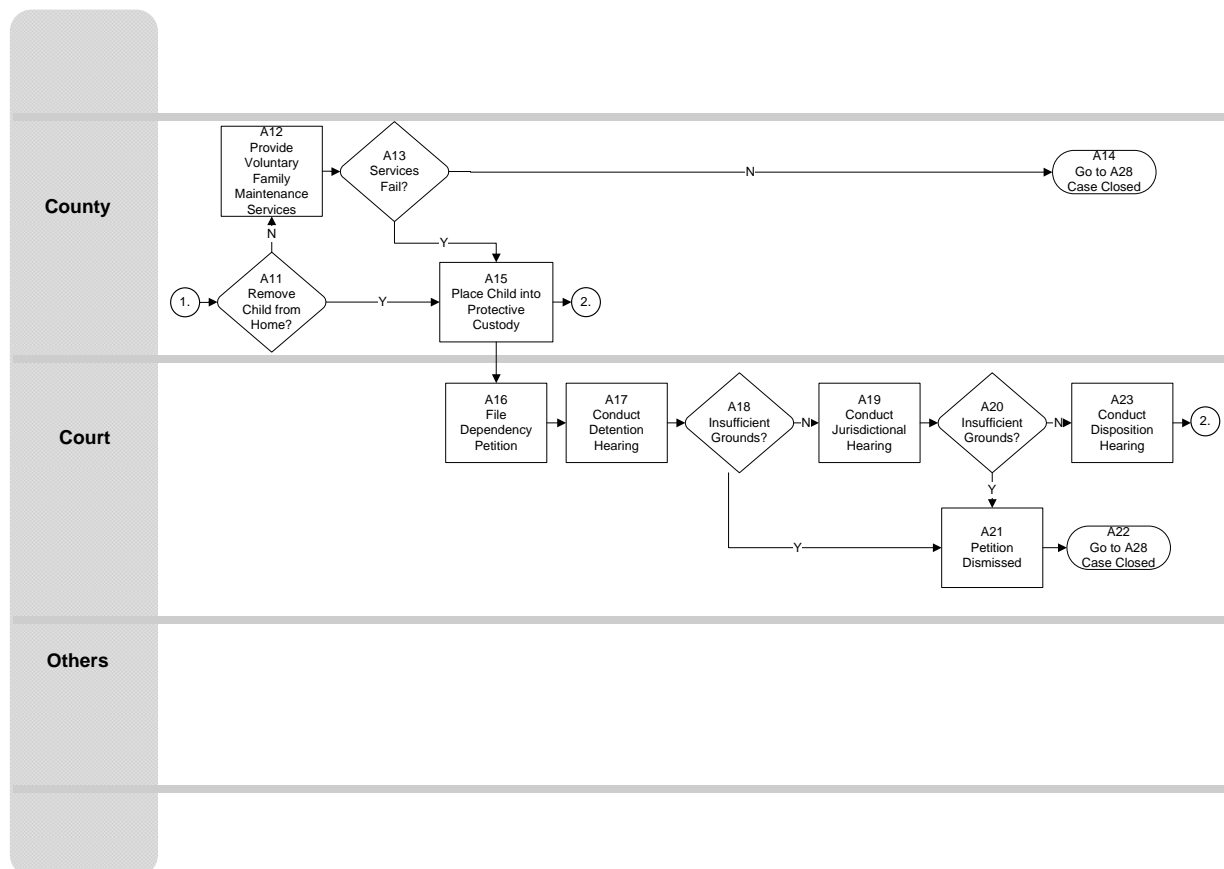


Figure 5 – Child Welfare Process (A12 - A23)

A11. Remove Child from Home

If the investigation finds that the parents do not pose an immediate and high risk of maltreating their child or there is inconclusive evidence to substantiate abuse, the ER social worker can decide to leave the child at home and provide voluntary family maintenance services.

One of the most important aspects in responding to child abuse is how the family and children are assessed. Each of California's 58 counties has its own handbook and training protocol; however, social workers generally use certain standard criteria to identify family problems and strengths and to develop an appropriate service plan. These criteria include:

- Frequency and severity of abuse or neglect,
- Vulnerability of the child due to age or disability,
- When the alleged event occurred,
- Prior reports to Emergency Response, both in and out of the county,
- Unrelated adult males in homes with children less than five years of age,
- Alleged perpetrator's access to the child,
- Parental alcohol or other drug use,
- History of parental mental health problems,
- History of violence, including domestic violence, in the home, and/or
- Parent's ability to protect the child.

If the investigation finds that the parents do pose a risk, the child is removed from the home and placed into protective custody.

A12. Provide Voluntary Family Maintenance Services

If the ER social worker decides to leave the child at home, the ER social worker may offer caregivers up to 30 days of ER services or up to six months of voluntary family maintenance services.

Thirty-day ER services (also called "pre-placement prevention activities") can be provided to families when there is a problem that does not require removal of the child and when the social worker believes that the problem can be corrected within 30 days. Services can include emergency shelter care, temporary in-home caregivers, therapeutic day services, parenting training, substance abuse testing, transportation, and respite.

Voluntary Family Maintenance, also known as "Informal Supervision", means that if the family does not improve within the 6-month period, a Section 300 (juvenile dependency court) petition can be filed on the original allegations. Services can include counseling, parent training, substance abuse treatment, respite care, or other services that meet identified needs. The family agrees to accept these services on a voluntary basis without court intervention.

The following chart displays the current Emergency Response Referrals Statewide workload statistics.

Table 2 – Emergency Response Referrals Statewide Workload⁶

Month / Year	Evaluated Out Closed	In Person Services Closed	Services Provided Closed	Transferred to FM	Transferred to FR / PP or Other	Total Monthly Referrals
December 2000	12,629	24,283	10,865	2,232	1,593	51,602
June 2001	14,639	28,896	13,447	2,512	2,030	61,524
December 2001	12,792	22,951	11,721	2,116	1,804	51,384
June 2002	14,416	28,340	15,367	2,403	1,963	62,489
December 2002	14,215	25,418	14,925	1,993	1,893	58,444
June 2003	14,897	28,398	17,559	2,357	2,006	65,217
December 2003	14,542	25,731	16,108	2,132	1,903	60,416
June 2004	18,713	26,580	19,115	2,508	2,068	68,984

A13. Services Fail?

At the end of the Voluntary Family Maintenance Services period, two outcomes can result. The case is either closed based upon success of services rendered. Or, the family is unable to adequately care for the child, the county agency may continue to deliver in-home services using county funds or petition the juvenile dependency court to place the child in out-of-home (foster) care.

A14. Case Closed

If a successful outcome is obtained through Voluntary Family Maintenance Services, the case is closed.

A15. Place Child into Protective Custody

If the ER social worker (or a police officer) determines that the child cannot remain safely at home, immediate steps are taken to remove and place the child in a safe environment, such as a temporary shelter or emergency foster care. The child can be placed into protective custody for up to 48 hours. During those 48 hours, a social worker will assess whether the child can safely be returned home with supportive services or whether the intervention of the juvenile court is needed. In cases of serious abuse, the perpetrator may also be arrested and referred to the district attorney for criminal prosecution. It is thus possible to have two parallel court proceedings occurring in juvenile dependency court and criminal court.

Process activities A16 – A23 describe the juvenile dependency court activities that happen concurrently within the overall CWS process as described below.

The juvenile dependency court is a division of the county Superior Court that handles child abuse and neglect cases and has ultimate authority over what happens to children who are at risk of or have suffered abuse or neglect while in their parent's or guardian's care. California Welfare and

⁶ Pre-placement Preventive Services Emergency Response and Family Maintenance Activity Monthly Reports

Institutions Code (WIC) 300 provides the legal basis for juvenile court jurisdiction and authorizes the court to remove children from the care and custody of their parents if such action is necessary to keep them safe.

The court process begins when a social worker or police officer removes a child from the care of his or her parent(s) and places the child in protective custody. The county child welfare agency then files a petition with the juvenile court that, if approved by a juvenile court judge, brings the child under the court's jurisdiction and declares the child to be a "dependent" of the court. During the hearing process, each party, (parents, children, and the child welfare agency), is represented by an attorney. The juvenile court will appoint an attorney for parents who cannot afford one.

Through a series of hearings, (i.e., Detention Hearing, Jurisdictional Hearing, Disposition Hearing, etc.) and depending on the safety needs of the child, the court can leave the child in the care of the parents and order Family Maintenance services for the parents to address concerns that the child welfare agency may have about the family.

The court can also place the child in out-of-home care as a necessary step to keep the child safe and order that Family Reunification services be provided to the parents to help them regain custody of their child or children. If the court orders out-of-home placement, the child welfare agency is required by law to place children first with a non-custodial parent, then with relatives, and then in foster care only when the legally mandated alternatives have been exhausted.

Whenever the court removes a child from his/her home because of abuse or neglect, the court grants placement and responsibility for meeting the child's health and educational needs to the county child welfare agency. The court relies on the child welfare agency to provide clinical expertise and case management to the family, prepare service plans aimed at family reunification or alternative permanent placement, find and administer foster homes, and locate adoptive parents for children when reunification efforts fail. A service plan, individualized to meet the needs of the family and address safety concerns about the home environment, is developed by the social worker and the family and approved by the court.

The court may dismiss a case at any point if the problems that brought the family into court have been remedied and the child is no longer at risk in the care of his or her parent(s). For children under the age of 3, parents are generally only entitled to six months of reunification efforts, while efforts to reunify with children over three years of age can last up to 12 months. If the parents are unable to reunify during those time periods, the court must select a permanent placement for the child that might be adoption, legal guardianship, or another planned permanent living arrangement, including foster care.

A 16. File Dependency Petition

If the social worker determines that the protection of the juvenile court is needed, he or she must prepare and file a petition with the juvenile dependency court within 48 hours after the child has been removed from the parent or guardian. The petition is a legal document containing evidence that court intervention is necessary for the safety of the child. A petition may also be filed if the social worker allows the child to remain at home with caregivers that refuse to accept voluntary Family Maintenance services.

A17. Conduct Detention Hearing

During the detention hearing, the Court reviews allegations to ensure sufficient grounds to remove child (within 24 hours of filing petition if child is in custody).

A18. Insufficient Grounds?

If the Court finds insufficient grounds for petition or that the problems that brought the family into court have been remedied, the petition is dismissed.

A19. Conduct Jurisdictional Hearing

During the jurisdictional hearing, the Court determines if abuse and neglect allegations are true and if intervention is warranted under WIC Section 300 (within 20 days of the Detention Hearing if child is in custody, otherwise within 30 days).

A20. Insufficient Grounds?

The Court revisits the findings to determine if insufficient grounds to proceed.

A21. Petition Dismissed

The Court finds insufficient grounds for abuse and/or neglect or that the problems that brought the family into court have been remedied, the petition is dismissed. If insufficient grounds are not found, a disposition hearing is held.

A22. Case Closed

Once petition is dismissed, the case is closed.

A23. Conduct Disposition Hearing

During the disposition hearing, the Court determines a child's placement and establishes a service plan (within 10 days of the Jurisdictional Hearing if child is in custody, otherwise within 30 days). The Court may order child to remain at home in Family Maintenance or place child in out-of-home (foster) care.

Child Welfare System Process (A24 – A35)

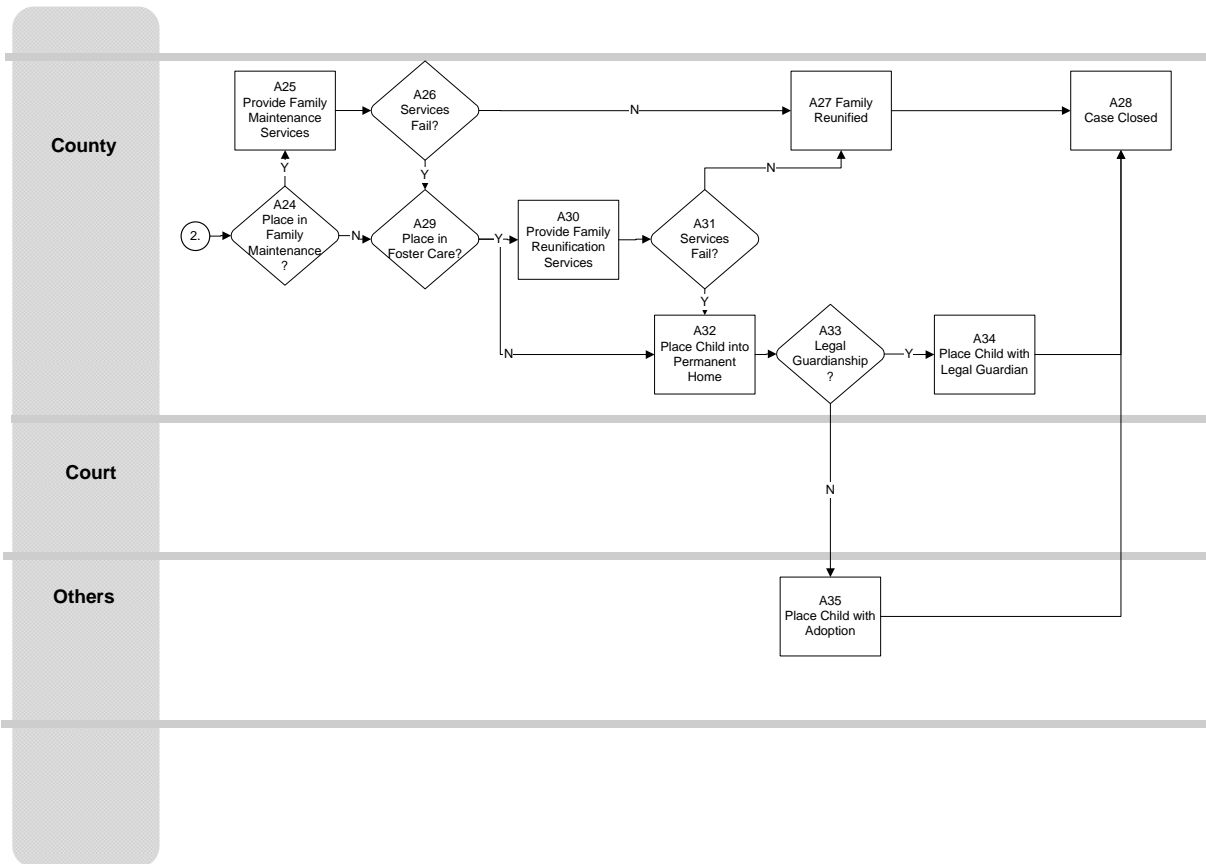


Figure 6 – Child Welfare System Process (A24 - A35)

A24. Place in Family Maintenance?

Once the child is taken into protective custody, the ER social worker needs to determine appropriate steps of action. There are three courses of action the ER social worker can proceed with: 1) Provide Family Maintenance Services, 2) Place in Foster Care, or 3) Place Child into Permanent Home.

A25. Provide Family Maintenance Services

If the ER social worker decides to place the child into Family Maintenance (FM), time-limited protective services are provided to families in crisis to prevent or remedy abuse or neglect, allowing social workers to work with the family while keeping the child in the home. Services such as counseling, emergency shelter care, respite care, emergency in-home caretakers, substance abuse treatment, domestic violence intervention, victim services, and parenting education. The state pays for services for 6 months that may be extended for an additional 6-month period if there is evidence that the objectives of the service plan can be achieved within the extended time period. If, after that time, the family is unable to adequately care for the child, the county agency may continue to deliver in-home services using county funds or petition the juvenile dependency court to place the child in out-of-home (foster) care.

The following chart displays the Family Maintenance Statewide workload statistics.

Table 3 - Family Maintenance Statewide Workload⁷

Month / Year	Cases Opened	Cases Closed	Average Monthly Number of Open Cases
December 2000	3,188	3,356	39,562
June 2001	3,709	3,835	29,851
December 2001	3,308	3,276	29,438
June 2002	3,675	3,618	29,630
December 2002	3,157	3,671	28,914
June 2003	3,643	3,940	28,065
December 2003	3,360	3,637	27,267
June 2004	3,847	4,017	27,666

A26. Services Fail?

If Family Maintenance Services fail, the ER social worker needs to determine if the child should go into a Family Reunification program or Permanent Placement. If services succeed, the family is reunified and the case is closed.

A27. Family Reunified

Family Maintenance Services have provided a family environment safe for the child to return. A reunification plan is agreed to and satisfactorily fulfilled for the child to be returned home.

A28. Case Closed

Once the child is returned home and services are no longer being provided, the case is closed.

A29. Place in Foster Care?

If Family Maintenance Services is not the right choice for the child, the determination is made to: 1) place the child within Foster Care for Family Reunification Services, or 2) begin the Permanent Placement process.

A30. Provide Family Reunification Services

Family Reunification (FR) provides time-limited intervention and support services to parents and to children who have been removed from the home to make the family environment safe for the child to return. A reunification plan is agreed to by the parents and the child welfare agency, and services are made available to parents that can include counseling, emergency shelter care, substance abuse treatment, domestic violence intervention, parent training, and homemaking skills. The service plan must be satisfactorily fulfilled for the child to be returned home.

The following chart displays the Family Reunification Statewide workload statistics.

⁷ Pre-placement Preventive Services Emergency Response and Family Maintenance Activity Monthly Reports

Table 4 – Family Reunification Statewide Workload⁸

Month / Year	Cases Opened	Cases Closed	Average Monthly Number of Open Cases
December 2000	1,815	1,930	27,982
June 2001	2,415	2,215	27,213
December 2001	2,015	1,809	27,565
June 2002	2,261	2,371	27,097
December 2002	2,223	2,093	26,686
June 2003	2,390	2,268	26,406
December 2003	2,247	2,237	25,798
June 2004	2,449	2,410	25,610

Social workers now routinely do “concurrent planning” to plan for an alternative permanent placement for the child. This is a two-track process where, even as reasonable efforts are made to reunify children with parents, social workers also work to develop an alternative permanent living arrangement should reunification not be achieved. Parents thus have less time to meet reunification requirements before facing the loss of their parental rights.

A31. Services Fail?

If Family Reunification Services fail, the ER social worker places the child in Permanent Placement. If services succeed, the family is reunified and the case is closed.

A32. Place Child into Permanent Home

Permanent Placement (PP) services are meant to ensure that children from families where there has been neglect or abuse can grow up in a permanent, safe, and secure living arrangement. The preferred option is reunification with the family. To this end, many counties provide significant support through Family Maintenance and Family Reunification services. When children cannot live safely with their birth parents, federal policy prefers adoption as a first alternative option. If adoption is not possible, legal guardianship, preferably with a relative, is the second favored choice. If, for whatever reason, these options are not available, children may continue in foster care with annual permanency reviews until their 18th birthday when they “age out” of the child welfare system, although the deadline can be extended for a year to allow a youth to complete high school.

The following chart displays the Permanent Placement Statewide workload statistics.

Table 5 - Permanent Placement Statewide Workload⁹

Month / Year	Cases Opened	Cases Closed	Average Monthly Number of Open Cases
December 2000	1,026	2,191	72,958
June 2001	1,190	2,073	70,444
December 2001	970	1,625	67,818

⁸ Pre-placement Preventive Services Emergency Response and Family Maintenance Activity Monthly Reports

⁹ Pre-placement Preventive Services Emergency Response and Family Maintenance Activity Monthly Reports

Month / Year	Cases Opened	Cases Closed	Average Monthly Number of Open Cases
June 2002	1,312	1,829	66,207
December 2002	1,122	1,396	63,870
June 2003	1,176	1,932	62,373
December 2003	1,143	1,689	60,240
June 2004	1,224	1,725	58,842

A33. Legal Guardianship?

If adoption is not a viable option, county child welfare staff can try to place a child with a legal guardian.

A34. Place Child with Legal Guardian

This is a legal arrangement in which an adult has court-ordered authority and responsibility to care for a minor child. While guardians have authority to make the decisions on behalf of the child that a biological parent would make, guardians have no legal obligation to support the child financially. A guardian takes care of a child's personal needs, including shelter, education, and medical care. If a relative becomes a guardian, the child welfare case may be closed, and the relative may receive ongoing assistance for the child in the same amount that the child would have received in a foster home. Non-relative guardians receive similar assistance. Under guardianship, the child's formal and legal ties to his or her biological family remains intact, and the biological parents continue to be legally required to provide financial support for the child. Legal guardianship can be terminated when a parent successfully petitions to resume guardianship of the child, when a judge determines that a guardianship is no longer necessary, or when a guardian resigns. Guardianship automatically ends when a child reaches the age of 18.

A35. Place Child with Adoption

Adoption is a process that creates a new parent-child relationship by legally terminating the birth parents' rights and transferring those rights and responsibilities to adoptive parents. Children over the age of 12 must also consent to the adoption.

CDSS regulates and maintains records for 1) adoptions that occur through public agencies, 2) adoptions facilitated by private adoption agencies, 3) independent adoptions that are handled by a private attorney without the support of public or private agencies, 4) adoptions of children from countries outside the United States, and 5) surrendered children. About two-thirds of all finalized adoptions in California occur through public adoption agencies, including five CDSS district offices (that provide direct services adoption programs for 30 counties) and 28 state-licensed county adoption agencies.

4.1.2 CWS/CMS Overview

In 1989, SB 370 (Chapter 1294, Statutes of 1989) authorized the development and implementation of a statewide computer system to automate the case management, services planning, and information gathering functions of child welfare services. CWS/CMS is California's

version of the federal Statewide Automated Child Welfare Information System (SACWIS).¹⁰ The provisions of SB 370 laid out specific goals in the development of a statewide child welfare system. In accordance with the goals of SB 370, CWS/CMS has been designed to:

- Provide Child Welfare Services (CWS) workers with immediate access to child, family and case-specific information in order to make appropriate and timely case decisions;
- Provide CWS workers with current and accurate information to effectively and efficiently manage their caseloads and take appropriate and timely case management actions;
- Provide State and county administrators with the information needed to administer programs and monitor and evaluate the achievement of program goals and objectives;
- Provide State and county CWS agencies with a common database and definition of information from which to evaluate CWS; and
- Consolidate the collection and reporting of information for CWS programs pursuant to State and federal requirements.

At the time SB 370 was enacted, there was no centralized statewide system that allowed State or county Child Welfare workers to share information. Each county had its own locally designed method of managing cases, which ranged from manual, paper-file systems to computer-based systems. The different systems made information sharing inefficient and time-consuming.

4.1.2.1 Technology

The CWS/CMS is a personal computer (PC)-based, WindowsT application that links all 58 counties and the State to a common database. The CWS/CMS is an automated, online client management database that tracks each case from initial contact through termination of services.

The CWS/CMS is one of the largest WindowsT-based systems. CWS/CMS is designed so caseworkers can move through the application, performing work in the sequence that is most appropriate. The application allows caseworkers to open and track cases through the components of the CWS program. The system assists caseworkers in recording client demographics, contacts, services delivered, and placement information. The system also enables caseworkers to record and update assessments, create and maintain case plans, and manage the placement of children in the appropriate foster homes or facilities. The system will generate and manage many forms associated with a client or case. The application also collects data for the purposes of State, county, and federal reporting.

4.1.2.2 Functionality

The CWS/CMS has eleven functional components designed to reflect the processes employed by child welfare workers in investigating, servicing, and managing a child welfare case. Combined, these eleven components automate the many phases and programmatic functions of CWS. The eleven components and their functions are as follows:

- **Intake** – referral screening, investigation and cross reporting.

¹⁰ CWS/CMS Overview; www.childsworld.ca.gov dated July 2002

- **Client Information** – recording and accessing information on clients;
- **Service Delivery** – recording of services delivered to clients;
- **Case Management** – developing case plans, monitoring service delivery, progress assessment;
- **Placement** – placement management and matching of children to placement alternatives;
- **Court Processing** – hearing preparation, filing of petitions, generating subpoenas, citations, notices, recording court actions;
- **Caseload** – assignment and transfer of cases;
- **Resource Management** – information on resources available for CWS (services providers, county staff resources, etc.)
- **Program Management** – caseload, county, program-level information for program management purposes;
- **Adoptions** – recording of information for reporting purposes; and
- **Licensing** – information on licensees used in placement decisions.

Each functional component captures information and provides automated tools for case management, service provision, and program management or documenting case history.

4.1.2.3 Development

The CWS/CMS project began the procurement process in February 1990, development was completed in July of 1997, and statewide rollout was completed in June 1998. It is currently the largest statewide child welfare case-management system in the United States. The system monitors 130,000 child welfare cases at any point of time. Over 19,000 registered users located in 392 locations throughout California access CWS/CMS. Referrals concerning 500,000 children are recorded annually in the system. Since its inception, CWS/CMS has processed nearly three million referrals and one million cases.¹¹

Social workers are now able to:

- Make safety assessments based on the history of the family anywhere in the state.
- Access information from social workers in other counties who are familiar with the needs of the family and the services they have received.
- Access information 24 hours per day, seven days per week.
- Complete and document investigations with minimal paperwork.
- Avoid time consuming re-entry of data.
- Obtain electronic review and approvals from their supervisors.
- Transfer cases electronically between counties.

¹¹ California Department of Social Services Strategic Plan dated June 2002.

Families are provided with:

- Standardized information so that they can better understand how their case is being managed (including case plans, court reports, notices, etc.)
- Automated generation of notices and other information that help them better understand the status of their case.
- An increased likelihood of receiving appropriate service, since the social worker has more complete information on the family situation and resources that can help them.

Program supervisors, managers, and directors are provided with:

- The ability to assess the case history to set the priority for response and assignment.
- The ability to review individual cases on-line, improving their ability to support staff in the field.
- Information regarding the cases their social workers are managing, including caseloads by individual social worker, court and other deadlines, length of time cases are in Family Maintenance and Family Reunification, timeliness of responses to Emergency Response referrals, and frequency of contacts with children and families.
- Statistics regarding overall casework (average number of home visits, average time to complete standard tasks, etc.) to assist them in ensuring quality, managing the workload, and distributing resources.
- Current and trend information for policy makers and executive management to better assess current practices in a broader context, plan for future changes, and develop policy.

California's statewide information system has had a major impact on the Child Welfare Services program and its various constituency groups. Across the state and around the clock, CWS/CMS provides real-time access to comprehensive children and family case data, supporting social workers that serve California's abused and neglected children.

4.1.3 Federal SACWIS Requirements

The basis of the Federal Statewide Automated Child Welfare Information System (SACWIS) requirements is to produce a system that is a comprehensive automated case management tool that supports social workers' foster care and adoptions assistance case management practice. In addition, the system is required to support the reporting of data to the Adoption and Foster Care Analysis Reporting System (AFCARS) and the National Child Abuse and Neglect Data System (NCANDS). Finally, SACWIS is expected to have bi-directional interfaces with a State's Title IV-A (Temporary Assistance for Needy Families) and Title IV-D (Child Support) Systems.

The federal SACWIS requirements are broken into eight major sections and within each section requirements are grouped into several categories as needed. There are 80 SACWIS requirements¹² in total. For purposes of this report we have described the eight major sections and listed the categories of requirements that fall within each. For a detail listing of the 80 SACWIS requirements, please refer to Appendix C.

¹² Reference Federal Action Transmittal ACF-OISM-001, which identifies 80 requirements.

- **Intake Management** – consists of processing referrals for service, conducting an investigation, and assessing the need for service.
 - ❑ Intake
 - ❑ Screening
 - ❑ Investigation
 - ❑ Assessment
- **Eligibility** – consists of determining programs for which funding support is available for clients receiving services. Program Eligibility may include funding for foster care/adoption payments and determining the type of programs that will allow a client to receive Medicaid coverage. This function is usually initiated sometime during the Intake Function.
 - ❑ Initial Eligibility Determination
 - ❑ Changes in Eligibility
- **Case Management** – entails the preparation of service plans, determining whether the agency can provide the services, authorizing the provision of services, and managing the delivery of those services.
 - ❑ Service/Case Plan
 - ❑ Case Review/Evaluation
 - ❑ Monitoring Service/Case Plan Services
- **Resource Management** – focuses on the maintenance and monitoring of information on an array of service providers, including prevention programs, placement services, and foster care providers.
 - ❑ Facilities Support
 - ❑ Foster/Adoptive Homes Support
 - ❑ Resource Directory
 - ❑ Contract Support
- **Court Processing** – encompasses an array of legal activities and documentation procedures involving judicial events requiring action on the part of the State agency.
 - ❑ Court Documents
 - ❑ Notifications
 - ❑ Tracking
 - ❑ Indian Child Welfare
- **Financial Management** – tracks and manages financial transactions. It may be part of the SACWIS itself or may be an automated interface to a department or statewide financial system.
 - ❑ Accounts Payable
 - ❑ Accounts Receivable
 - ❑ Claims

- **Administration** – incorporates procedures for ensuring support for efficient management of as well as reliable and accurate operation of the system.
 - Staff Management
 - Reporting
 - Administrative Support
- **Interfaces** – which create an electronic link between the child welfare and other systems, to receive, transmit, and verify case and client information.
 - Required Interfaces
 - Optional Interfaces

4.1.4 State of California SACWIS Compliance

California's SACWIS currently lacks federal SACWIS compliance in four main functional areas: 1) Adoptions Case Management, 2) Automated Title IV-E Eligibility Determination, 3) Interfaces to Title IV-A, Title IV-D and Title XIX Systems, and 4) Financial Management.

- **Adoptions Case Management** – The CWS/CMS Adoptions Subsystem currently only collects Adoption Foster Care Analysis and Reporting System (AFCARS) data elements and provides minimal support for the Adoption Assistance Program (AAP).
- **Automated Title IV-E Eligibility Determination** – The CWS/CMS application currently does not fully meet two Federal requirements that call for the system to:
 - Document the data used to establish an individual's complete Title IV-E eligibility such that this data is available for independent review and audit.
 - Ensure that all eligibility factors are consistently and accurately applied in every eligibility determination.
- **Interfaces to Title IV-A, Title IV-D and Title XIX Systems** – The CWS/CMS application currently does not support automated interfaces to State systems used to support programs administered under titles IV-A (Temporary Assistance to Needy Families), IV-D (Child Support Enforcement), and XIX (Medicare).
- **Financial Management** – The CWS/CMS application currently does not include financial management functionality or an automated interface to a statewide or department financial system for foster care out-of-home care payments and adoptions assistance program (AAP) payments.

The information gathered for these matrices were compiled from a number of sources that include:

- The Statewide automated child welfare information system program/system functions found on the ACF web site.
- The Statewide Automated Review Guide (SARG) dated November of 2000.
- The Annual Advance Planning Document Update (ADPU) dated June 30, 2003.
- Task Report - Evaluation of State SACWIS Requirements Compliance for Child Welfare Services / Case Management System (CWS/CMS) by Northrop Grumman Information Technology; dated July 6, 2004.

The following list categorizes all the SACWIS requirements based on the current status (i.e., compliant or non-compliant) with the ACF.

Table 6 – Compliant Versus Non-Compliant SACWIS Requirements by ACF

Current Status	Requirement Number(s)
Compliant Requirements	
Requirements Met or Tabled	1, 2, 4, 5, 7, 9, 10, 12, 13, 14, 17, 19, 20, 26, 28, 31, 32, 33, 34, 35, 39, 40, 42, 43, 44, 45, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57, 58, 59, 63, 64, 66, 67, 69, 70, 71b, 73, 74, 75, 80a, 80d, 80f
Requirements ACF agreed State has met but State has not accomplished what it said it would	30
Non-Compliant Requirements	
Requirements the State feels are met but ACF has not commented on to date	3, 6, 8, 11, 15, 16, 18, 36, 37, 38, 41, 46, 47, 65, 68b, 71c
Requirement marked as met in initial review but State has not accomplished what it said it would	72
Requirements not met to date	21, 22, 23, 24, 25, 27, 29, 60, 61, 62, 68a, 71a, 76, 77, 78, 79, 80b, 80c, 80e, 80g, 80h, 80i

A summary of the SACWIS compliance of requirement displays compliance totals by functional area below. If the requirements were non-applicable by the ACF, the requirement was tallied as compliant and included as part of the compliant total. Some of the requirements listed are made up of several parts (i.e., 68, 71, and 80). These requirements were scored as follows:

- 68 is non-compliant
- 71 is non-compliant
- 80 is compliant

Table 7 - SACWIS Compliance Summary by Functional Area

SACWIS Functional Area	Total	Compliant
Intake Management	20	13
Eligibility	6	1
Case Management	15	9
Resource Management	14	12
Court Processing	4	4
Financial Management	3	0
Administration	13	10
Interfaces	5	2
Totals	80	51

For a better understanding of California SACWIS compliance, a detail listing is provided below which lists all the requirements, whether they are mandatory, and whether they are compliant. For detailed research comments regarding the ACF review of the State responses are displayed in Appendix D.

Table 8 – California SACWIS Requirement Compliance Details

#	Requirement Description	Mandatory	Compliant
Intake Management			
Intake			
1	Record contact/referral	✓	✓
2	Collect intake/referral information	✓	✓
3	Search for prior history (persons/incidents)	✓	
4	Record "information only" requests		✓
Screening			
5	Evaluate intake information	✓	✓
6	Record the results of the screening evaluation	✓	
7	Establish case record	✓	✓
8	Assign case to worker	✓	
9	Refer for investigation and/or services, as appropriate	✓	✓
Investigation			
10	Collect and record investigation information		✓
11	Record investigation decision	✓	
12	Generate documents as needed in response to investigation	✓	✓
Assessment			
13	Determine and record risk assessment	✓	✓
14	Perform risk assessment		✓
15	Collect and record special needs/problems	✓	
16	Determine and record needed services	✓	
17	Record client contacts		✓
18	Prepare and record referrals to other agencies		
19	Collect and record further case		✓
20	Generate documents, notices and reports based on review as needed	✓	✓
Eligibility			
Initial Eligibility Determination			
21	Determine title IV-E eligibility	✓	
22	Verify eligibility for other programs	✓	
23	Record authorization decisions	✓	
24	Generate documents related to eligibility determinations	✓	
Changes in Eligibility			
25	Redeterminations	✓	
26	Generate documents related to eligibility determinations	✓	✓

#	Requirement Description	Mandatory	Compliant
Case Management			
Service/Case Plan			
27	Prepare and document service/case plan	✓	
28	Identify and match services to meet client's case plan needs		✓
29	Record contact with and acquisition of needed resources/services		
30	Track and update service/case plan	✓	✓
31	Match client to placement alternatives, if needed		✓
32	Generate documents as needed	✓	✓
33	Request and record supervisory approval of plan, if needed		✓
34	Compute estimated and track actual costs of resources/services		✓
35	Identify program outcome measures		✓
Case Review/Evaluation			
36	Generate alerts to conduct case review/evaluation as needed	✓	
37	Conduct and record results of case review	✓	
38	Generate documents, notices and reports based on review as needed	✓	
39	Record collateral contacts		✓
Monitoring Service/Case Plan Services			
40	Track and record services identified in the service/case plan		✓
41	Generate documents, notices and reports	✓	
Resource Management			
Facilities Support			
42	Record and update provider information	✓	✓
43	Generate alerts/action items on licensing status changes	✓	✓
44	Generate reconciliation and evaluation reports as needed	✓	✓
45	Record and track provider training		✓
Foster/Adoptive Homes Support			
46	Maintain and update foster care and adoptive home information as needed	✓	
47	Record foster care home abuse/neglect allegations and investigation results	✓	
48	Process foster care/adoptive home applications		✓
49	Generate alerts/action items as needed if foster care license is revoked		✓
	Resource Directory		
50	Maintain directory		✓
51	Generate reports		✓
Contract Support			

#	Requirement Description	Mandatory	Compliant
52	Process contracts and contract changes		✓
53	Record contract monitoring results		✓
54	Generate alerts/action items as needed		✓
55	Generate documents as needed		✓
Court Processing			
56	Court Documents		✓
57	Notifications		✓
58	Tracking		✓
59	Indian Child Welfare Act		✓
Financial Management			
60	Accounts Payable	✓	
61	Accounts Receivable	✓	
62	Claims	✓	
Administration			
Staff Management			
63	Record and update employee information	✓	✓
64	Record and track case assignment	✓	✓
65	Assist in workload management		✓
66	Track employee training		✓
67	Document employee performance		✓
Reporting			
68a	Produce Federal and State reports – (AFCARS)	✓	
68b	Produce Federal and State reports – (Other Federal Reports)	✓	
69	Produce reports	✓	✓
70	Produce statistical reports	✓	✓
Administrative Support			
71a	Provide hardware and software security (Secured system)	✓	
71b	Provide hardware and software security (Confidentiality)	✓	✓
71c	Provide hardware and software security (Contingency)	✓	
72	Archive and purge	✓	
73	Provide office automation		✓
74	Provide on-line system documentation		✓
75	Provide on-line training		✓
Interfaces			
Required Interfaces			
76	Title IV-A (TANF)	✓	
77	Title IV-D (Child Support Enforcement)	✓	
78	Title XIX (Medicaid)	✓	

#	Requirement Description	Mandatory	Compliant
79	Child abuse and neglect data system	✓	✓
Optional Interfaces			
80a	State Central Registry		✓
80b	Social Security Administration for Title II and SSI information		
80c	State financial system		
80d	State licensing system		✓
80e	Vital Statistics		
80f	Court system		✓
80g	Juvenile Justice		
80h	Mental health/retardation		
80i	State Department of Education		

4.1.5 Key Business Findings

The following key findings described within this section are all related to the business baseline. Findings were obtained through a variety of sources that include conducting interviews and workshops were conducted with key stakeholders. Information regarding the types of interviews conducted can be found in Appendix E.

- CWS/CMS Executives, Business Staff and Technical Staff,
- CDSS Executives and Staff,
- San Mateo County Staff,
- Los Angeles County Staff,
- Santa Clara County Staff,
- Colusa County Staff,
- Yolo County Staff,
- Sacramento County Staff,
- CWDA and County Representatives, and
- CWS/CMS Oversight Committee and County Supervisors.

In addition to the interviews and workshops, the following documentation was reviewed and business opportunities were validated.

- The California Statewide Automated Child Welfare Information System (SACWIS) Go-Forward Plan dated August 2004 was reviewed and business opportunities were validated.
- The Statement of Work (SOW) for the Technical Architecture Alternatives Analysis (TAAA).
- The Technical Architecture Strategic Plan (TASP) published in April 2003.
- The Go-Forward Plan, As-Needed Advanced Planning Document Update (APDU), published in August 2004.

- The SACWIS Completion Feasibility Study Report (FSR) – Interfaces published in May 2003.

The findings are as follows:

- **Untimely System Updates** – CWS/CMS receives a variety of system change requests from federal, State, and county sources to perform modifications to the CWS/CMS to meet legislative, regulatory, and programmatic needs. The following factors affect the deployment cycle:

- ❑ The CWS/CMS release cycle currently takes a minimum of six months. Once State and federal approval are received for a release, the structured development life cycle is followed by CWS/CMS (i.e., design, program, test, train, and release).
- ❑ The size, complexity, and tightly interwoven nature of the application result in an increase in application development time.
- ❑ The effort to integrate existing Web-based services or commercial-off-the-shelf solutions into the system is more difficult.
- ❑ The counties must go through a time-consuming effort to update their data marts and query mechanisms whenever a change is made to the CWS/CMS database schema.

All of these factors result in time-consuming development and, at times, legislation is in effect before the appropriate programmatic changes are updated in the application. For example, the Department of Justice (DOJ) releases updates to reports/forms approximately once a year. If CWS/CMS has not released the programmatic change to create the revised DOJ reports, end-users must manually produce the forms until the change is implemented within the application.

- **Limited Remote System Access** – The end-users currently have limited access to CWS/CMS while in the field and, if they have access, the processing time is very slow. If timely remote access were available, the social worker would use CWS/CMS while away from the normal office environment. For example, the social worker could use the system while waiting for court appointments, waiting for doctors appointments, or while at home on-call. Remote access would allow the social worker to spend more time in the field with the children and families.
- **External System Access and Information Exchange** – With the overall child welfare program moving to a more collaborative nature and inclusive casework model, a more diverse group of end-users needs the ability to exchange information with an increased variety of external systems. For example:

- | | |
|--|---|
| ❑ Bureau of Indian Affairs (BIA) | ❑ Courts and court officers |
| ❑ Case aides and clerks | ❑ Juvenile probation |
| ❑ Independent Living Program (ILP) service providers | ❑ Mental health and other therapeutic service providers |
| ❑ Family law | ❑ Law enforcement agencies |
| ❑ Foster parents | ❑ Probation officers |
| ❑ Health And education providers | ❑ Public health nurses |

Providing the ability to exchange information (i.e., a two-way interface that sends and receives information) would result in improved accuracy of case data. By automating the interface between systems, a benefit could be realized from:

- ❑ A decrease in time to perform data entry;
- ❑ A reduction in storage of redundant data;
- ❑ A reduction in data entry errors; and
- ❑ A decrease in inconsistent data.

- **Document Storage** – The need exists to store multiple documents per case while also providing the ability to store multiple electronic document types. Currently the CWS/CMS only supports storing of Microsoft Word documents. With improved technology, the ability to store and retrieve a variety of electronic document types (i.e., pictures, scanned images, signatures, etc.) could be achieved. For example, this would allow the social worker to store pictures of abused children, pictures of living conditions, and the ability to store legal documents from court (e.g., third party reports).

- **Case Collaboration** – The current process of sharing information and collaborating on cases between departments is inefficient and subject to multiple errors. The process is as follows:

- ❑ The social worker prints the case/client information.
- ❑ The case information is then faxed or mailed to the recipient.
- ❑ The recipient of the information re-keys the information into another system.

Because of time and job pressures, the information is sometimes not entered into another system. The current process of sharing information and collaborating on cases is cumbersome, inefficient, and subject to errors.

- **Data Access and User Groups** – As the child welfare program moves toward a more inclusive casework model, the need exists to provide multiple agencies (i.e., private, public, and county) with the ability to access information. In addition, the need exists to provide layers of access to specific levels (i.e., groups) of users. The CWS/CMS, as currently designed, does not provide a robust access model allowing differing levels of data viewing and security for specific user groups.

- **Data Entry and Workflow** – End users must perform data entry tasks that are redundant in nature and lack support for workflow functions. In particular, the technical architecture is designed such that concurrent or simultaneous data updates to the same case record are difficult to achieve. In addition, data entered in one area of the application does not consistently populate the same data fields in other areas.

The technical architecture also lacks support for automating workflow. This results in a decrease in user efficiency and successful case management.

- **Promising Practices** – Through research, program evaluation, and consensus building, child welfare leaders continue to identify and test innovative and effective practices that best serve their clients. However, the following practices are primarily manual processes that can vary in implementation from one county to another. The following models must be automated throughout the State to improve accuracy and remove inconsistent application of policy among social workers and among counties. The models of focus are as follows:

- ❑ **Differential Response** – This is a safety, fact-finding, and family assessment approach that seeks to engage families in a less adversarial process. This eliminates current practice that requires a substantiation of an allegation in order to qualify for services that could help to stabilize the family and promote safety, permanence, and well-being for children.
- ❑ **Safety Assessment** – This model provides social workers with a research-based, standardized safety assessment tool to increase reliability and accountability during the intake and investigation process. Safety assessment uses clearly defined standards and instruments for immediate, reliable, and long-term safety decisions.
- ❑ **Family Group Decision-Making** – This approach to case planning is intended to strengthen the potential of the family to function effectively and responsibly. Families participate in the role of experts and partners in designing their own individualized, culturally responsive, and relevant services. These families are provided with diverse, comprehensive, and community-based networks of resources.
- ❑ **Family-to-Family** – This Annie E. Casey Foundation initiative is being tested in many communities across the U.S., including a number of counties in California. This approach works to better screen children being considered for removal from home, bring children in congregate or institutional care back to their neighborhoods, involve foster families as team members in efforts to reunify families, and invest in the capacity of communities from which children in foster care come.
- ❑ **Community Based Practice** – This evolving approach to the CWS practice involves partnering with community organizations to serve families in a comprehensive multi-disciplinary manner.
- **Training and User Support** – Adequate CWS/CMS help tools are currently not available; and the opportunity exists for improvement to assist the end-user in learning.
- **Standardized Reporting** – End users of the CWS/CMS require a variety of reports to assist in trend analysis, supervise and assist caseworkers, assist key stakeholders in overall project vision, and provide the ability to analyze and report on outcome measures. End users require both standard and ad hoc reports.
- **Resources vs. Workload** – The current social worker's workload is greater than a standard eight-hour day. If a more efficient child welfare system is implemented, this will reduce the workload of the social workers, and will allow them to provide better quality service to the child. Better quality of service to the child will result in a higher chance of obtaining a successful outcome.
- **Other Languages** – With the population of California growing, the need to communicate, generate notices, and produce reports in multiple languages is consequently increasing.
- **Optimistic Concurrency** – The system was not designed to allow concurrent update access to the same case data; the optimistic concurrency design causes occasional loss of data. Typically, there are manual activities to ensure that multiple users are not simultaneously accessing the same data.
- **SACWIS Title IV-E Eligibility Determination** – SACWIS requirements mandate that CWS/CMS or an external system must provide for the ability to establish an individual's eligibility and ensure that all eligibility factors are consistently and accurately applied. Lack of Title IV-E eligibility determination puts the project at risk for loss of certification status and ineligibility for enhanced Federal Financial Participation (FFP).

- **SACWIS Adoptions Case Management** – SACWIS requirements mandate that CWS/CMS must provide the ability for a full case management function. The CWS/CMS currently is not in compliance and this puts the project at risk for loss of certification status and ineligibility for enhanced federal funding participation.
- **SACWIS Title IV-A (TANF) Interface** – SACWIS requirements mandate that CWS/CMS must provide automated exchange of common and/or relevant data with the Title IV-A system that collects information relating to the eligibility of individuals under Title IV-A (TANF). The CWS/CMS currently is not in compliance and this puts the project at risk for loss of certification status and ineligibility for enhanced federal funding participation.
- **SACWIS Title IV-D (Child Support Enforcement) Interface** – SACWIS requirements mandate that CWS/CMS must provide for the exchange of information with the Title IV-D to establish and report a child support case. The CWS/CMS currently is not in compliance and this puts the project at risk for loss of certification status and ineligibility for enhanced federal funding participation.
- **SACWIS Title XIX (Medicaid) Interface** – SACWIS requirements mandate that CWS/CMS must provide for the exchange of information needed by the State Medicaid eligibility system to calculate and track Medicaid eligibility. The CWS/CMS currently is not in compliance and this puts the project at risk for loss of certification status and ineligibility for enhanced federal funding participation.
- **SACWIS Other Non-Compliant Requirement** – SACWIS requirements mandate that CWS/CMS must be compliant in all requirements. CWS/CMS is non-compliant in several requirements, these requirements are noted as non-compliant in the SACWIS Requirement Compliance Details table above, and non-compliance puts the project at risk for loss of certification status and ineligibility for enhanced federal funding participation.

4.2 Technical Baseline Analysis

This technical baseline assessment report focuses on the current-state of CWS/CMS system covering the following areas:

- A brief technical history of CWS/CMS
- An overview of CWS/CMS current environment and its use
- CWS/CMS Application Architecture
- CWS-CMS Technical Architecture and technology infrastructure overview
- Overview and assessment of operations and support processes
- CWS/CMS Governance and Organizational approach

The objective of this document is to establish an agreed upon baseline for analysis of architectural alternatives for evolution of CWS/CMS.

4.2.1 Technical History of CWS/CMS

The California State Senate initially mandated the California Child Welfare System/Case Management System (CWS/CMS) in 1989. In 1992, the State of California contracted with IBM for development of the system, with initial release occurring in 1996.

At the time of development, the technologies available for software development and systems integration were very different from today. One of the major limitations at that time was the availability of inexpensive network bandwidth. As a result, CWS/CMS designers worked extensively on optimizing the architecture around performance, which often resulted in less than optimal application modularity and flexibility. Bandwidth limitations also forced designers of the system to require local server resources in each county in order to minimize the number of communication connections to the mainframe, which added to complexity and cost. At the time, the concept of browser-based technology and Internet was neither yet commercially available nor proven for large systems implementation. As a result, the designers had to choose between traditional monolithic mainframe architecture with 3270 terminal emulation (dumb screens) and a two-tier client/server architecture where the business logic was embedded in the caseworkers' desktops.

The choice of client server architecture added many benefits over the traditional monolithic/mainframe architecture in that the case worker would have access to other departmental applications, word processing, spreadsheets, email with flexible cut and paste capabilities and local access to personal or departmental printers.

The original CWS/CMS has experienced many changes since the initial development as a result of evolving technology standards. The system was originally designed around Microsoft Windows 3.1, a 16-bit operating system (OS). The Microsoft Windows 3.1 OS had many constraints that challenged developers. In particular there were memory and CPU processing constraints that limited the design. In the mid 90's Microsoft ended support for the Microsoft Windows 3.1 OS and many enterprises (including CWS/CMS) were forced to migrate their

applications to Microsoft Windows 95, a 32-bit operating system. The system was later migrated to Windows 2000, which is the current desktop platform.

CWS/CMS has replaced all OS/2 servers with Windows 2000 server systems. While operating on an updated server platform, the role of the local server (mainly used as a communication gateway for mainframe transactions and as a means to conduct software distribution) has remained unchanged as a result of this replacement. The following table lists the major technical infrastructure changes and system changes that have occurred for CWS/CMS since 1989¹³.

Table 9 – CWS/CMS Technical Infrastructure and System Change History

Date	Description
1989	The Child Welfare Services/Case Management System (CWS/CMS) is mandated by Chapter 1294, Statutes of 1989 (Senate Bill 370).
1/1992	Contract with IBM signed and Design begins.
8/1993	Title XIII, Section 13713., Enhanced Match for Automated Data Systems, of the Omnibus Budget Reconciliation Act (OBRA) of 1993
11/1993	IBM concludes Design Phase
1/1994	IBM's original design did not meet requirements because the design was more focused on reporting needs. Caseworkers were brought in to assess the design. This led to redesign and larger application which caused contract renegotiation
3/1995	Initial development was for Windows 3.1
7/1996	Initial release of CWS/CMS application (Base)
1996-1997	Upgrade workstations from Windows 3.1 to Windows 95 (planning)
1/1997	ADR/TSS Release (Release 2)
1/1997	Interim Release (Release 2.36)
2/1997	Interim Release focused on performance improvements (Release 2.37)
4/1997	Interim Release focused on correcting defects and general usability (Release 2.38)
6/1997	Interim Release focused on correcting defects, performance improvements, and usability improvements in Court Documents and Search/Merge/Attach (Release 2.39)
8/1997	Adoptions subsystem release (Release 3)
9/1997	Interim Release focused on correcting defects, performance improvements, and usability improvements in Placement, Search/Merge/Attach and Program Management Reports (release 3.25)
11/1997	Interim Release focused on correcting defects, performance improvements, and usability improvements in Placement, Search/Merge/Attach and Program Management Reports (release 3.26)
1997-1998	Upgrade workstations from Windows 3.1 to Windows 95 (implementation)
1997-1999	Upgrade workstation hardware (memory and disk drives)
1997-1999	Upgrade workstation OA suite (MS Word 6.0 to MS Office 97)
1997-1999	Replace OS/2 Server hardware and upgrade COTS system software suite

¹³ Dates obtained from Technical Workshops and Annual Advanced Planning Document Update – June 2003

Date	Description
1997-1999	Replace Enterprise Manager with CICS Transaction Server
1997-1999	Add Backup-to-disk option to Servers
1997-1999	Change enterprise mail (MS Mail to MS Exchange)
1997-1999	Migrate workstation (LAN) protocols to Transmission Control Protocol (TCP)/IP
1997-1999	Modify Servers with Simple Network Management Protocol (SNMP) Modules
1997-1999	Implement Network Remote Monitoring/Distributed Sniffer System
1997-1999	Implement 100 Mbps LAN Technology (all new sites will be 100 Mbps)
1/1998	Interim Release focused on improving performance and on usability improvements to Case, Placement and Court Reports and Search. (Release 3.27)
4/1998	Interim Release focused on improving performance, and on usability improvements to Adoptions, Case, Placement and Referral. (Release 3.28)
6/1998	Interim Release focused on usability improvements to Case Placement, and Referral; Added 36 AFCARS data elements for SOC 158. (Release 3.29)
9/1998	Interim Release focused on usability improvements to Adoptions, Assignment, Court, Placement, and Program Management Reports (Release 3.30)
1999-2000	Convert the CWS/CMS Application to 32-bit
2/1999	Interim Release focused on usability improvements to Case, Caseload, Court, and Placement; added a facility to submit problem reports via e-mail; added "Wizards" to help train users on four especially significant changes. (Release 3.31)
6/1999	Interim Release focused on usability improvements to Program Management Reports. (Release 3.32)
8/1999	Changes focused on usability improvements to Referral, AFCARS reporting and Court Reports. This release also included "Zippy Referral," a toll to speed data entry for Hot-Line workers. The major foundation of these changes was the conversion to a 32-bit architecture. (Release 4.0)
2000-2001	Implement Business Objects CAD
6/2000	Changes focused on usability improvements to Case, Case Plan, Court, HEP, Program Management Reports, and Referral. Improved Phonetic Search capabilities were also included. (Release 4.1)
2001-2002	Replace Application Servers
2001-2003	Upgrade OS to Windows 2000
3/2001	Targeted to improvements in Court functionality, changes also improved the usability of Case, Case Plan, Client and Placement. Additional changes improved the County Access to Data facility. (Release 4.2)
6/2001	The application was revised to operate on MS Windows 2000 operating systems. The code drop implemented CWS/CMS application workstation code to be compatible to both MS Windows 95 operating system and MS Windows 2000 operating system. (Release 5.0)
2002	CWS/CMS Portability Pilot to test use of PDA's and Laptops in the filed (also include Contact 2)
12/2002	Placement Redesign (Release 5.2)
2002-2003	Change Public IP Addressing to Private IP Addressing
2003	Contracted with Gartner to provide a Technical Architecture Strategic Plan (TASP), which

Date	Description
	provided an enterprise class architecture model that can meet the near and long term needs of CWS/CMS users, stakeholders, and oversight agencies. The TASP proposed to evolve CWS/CMS to a web services based architecture over time.
2003-2004	Replace Desktops < 400 MHz
2003-2004	Replace LAN Hardware
2004-2005	Replace Network Printers
2004-2005	Replace Laptops
2005-2006	Upgrade OA Suite
2005-2006	Replace Mail Servers including software, OS and Hardware

4.2.2 Overview of End-User Environment

4.2.2.1 Overview of Current End-User Environment

4.2.2.1.1 Current Application Functionality

In its present configuration, CWS/CMS has twelve different functional components that automate all phases of child welfare services for the end-user. These are described in the following table.

Table 10 – Current Functional Components of CWS/CMS Services

Function	Description
Intake	Referral screening, investigation and cross reporting
Client Information	Recording and accessing information about clients
Service Delivery	Recording of services delivered to clients
Case Management	Development of case plans, monitoring service delivery, and progress assessment
Placement	Placement management and matching of children to placement alternatives
Court Processing	Hearing preparation; filing of petitions; generating subpoenas, citations, and notices; and recording court actions
Caseload	Assignment and transfer of cases
Resource Management	Information about resources available for CWS/CMS (services providers, county staff resources, etc.)
Fingerprint	Information from criminal history clearances
Program Management	Caseload, county, and program-level information for program management purposes
Adoptions	Recording of information for reporting purposes
Licensing	Information about licensees used in placement decisions

4.2.2.1.2 County Organization

The CWS/CMS enterprise network services all fifty-eight (58) California counties, the Central Data Processing Facility, the Central Sacramento Server Facility, the CWS/CMS Project Office, and the California Department of Social Services (CDSS) (CDSS is sometimes referred to as the 59th county). The system is comprised of 392 sites within the counties, more than 16,683 workstations, 449 servers, and over 1,300 printers¹⁴.

Each CWS/CMS client county has unique characteristics that are based on local network conditions and network topologies having different physical conditions and other variables. Counties are classified as either “dedicated” or “coexistent,” depending on the CWS/CMS Project’s involvement in the local area network (LAN).

- **Dedicated Counties** – Dedicated counties agreed to designate IBM Global Services as the agency responsible for the installation and maintenance of CWS/CMS applications and the related operating hardware and software for their counties. Dedicated county networks have a standard structural topology designed, installed, and maintained by the Project. They are considered “closed” networks.
- **Coexistent Counties** – Coexistent counties agreed to use the CWS/CMS client presentation suite of applications, but they still retain the responsibility for the maintenance of related operating hardware used by the CWS/CMS application network infrastructure. Coexistent county networks are subject to county standardization with the county responsible for design, installation, and maintenance of their LANs and MANs. They are considered “shared” networks.

The following table depicts the dedicated and coexistent counties and the number of users.

Table 11 – Dedicated and Coexistent Counties, Site, and IDs

County	County Type	Total Sites	Total IDs
Alameda	Coexistent	9	669
Alpine	Dedicated	1	3
Amador	Dedicated	1	9
Butte	Dedicated	2	155
Calaveras	Dedicated	1	22
Colusa	Dedicated	1	7
Contra Costa	Coexistent	12	446
Del Norte	Dedicated	1	34
El Dorado	Dedicated	3	57
Fresno	Coexistent	9	534
Glenn	Dedicated	3	31
Humboldt	Dedicated	3	93
Imperial	Dedicated	5	53

¹⁴ All hardware inventory numbers detailed in this section were provided by CWS/CMS.

County	County Type	Total Sites	Total IDs
Inyo	Dedicated	1	17
Kern	Dedicated	9	537
Kings	Coexistent	1	60
Lake	Dedicated	2	30
Lassen	Dedicated	1	15
Los Angeles	Coexistent	60	6514
Madera	Dedicated	1	61
Marin	Coexistent	2	68
Mariposa	Dedicated	1	22
Mendocino	Dedicated	6	127
Merced	Coexistent	2	130
Modoc	Dedicated	1	10
Mono	Dedicated	2	5
Monterey	Dedicated	6	157
Napa	Coexistent	2	34
Nevada	Dedicated	2	18
Orange	Coexistent	10	1161
Placer	Dedicated	6	266
Plumas	Dedicated	1	12
Riverside	Dedicated	19	940
Sacramento	Coexistent	10	957
San Benito	Dedicated	1	22
San Bernardino	Coexistent	20	994
San Diego	Coexistent	32	1257
San Francisco	Dedicated	9	544
San Joaquin	Dedicated	2	250
San Luis Obispo	Coexistent	9	136
San Mateo	Coexistent	17	226
Santa Barbara	Coexistent	6	129
Santa Clara	Coexistent	14	901
Santa Cruz	Coexistent	3	108
Shasta	Dedicated	3	152
Sierra	Dedicated	2	5
Siskiyou	Dedicated	1	23
Solano	Coexistent	1	119
Sonoma	Coexistent	3	130
Stanislaus	Coexistent	4	195

County	County Type	Total Sites	Total IDs
CDSS	Coexistent	38	175
Sutter	Dedicated	1	46
Tehama	Dedicated	1	43
Trinity	Dedicated	1	10
Tulare	Dedicated	8	212
Tuolumne	Dedicated	1	30
Ventura	Coexistent	15	201
Yolo	Dedicated	2	71
Yuba	Dedicated	2	85
Total		392	19,318
Total Coexistent User IDs			15,144
Total Dedicated User IDs			4,174

4.2.3 Application and Technical Architecture Overview

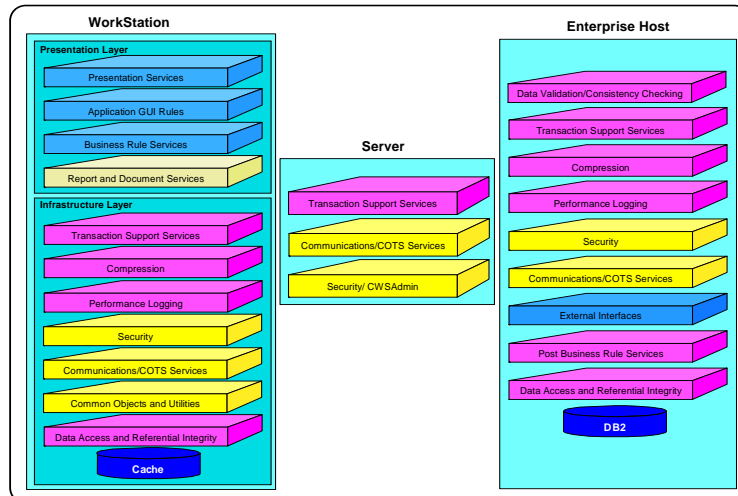
4.2.3.1 High Level Application/Technical Infrastructure

4.2.3.1.1 Application Architecture Overview

The CWS/CMS application is a multi-tiered client server application (figure below) comprised of several components. The major tiers and components include:

- Desktop User Interface and Business Logic
- Application (County) Server Tiers – Mainly communication logic
- Backend Host and Database – System of records

The CWS/CMS application also includes a separate environment for reporting referred to as County Access to Data (CAD), as well as SAS Analytical Tools.

Figure 7 – CWS/CMS Application Tiers¹⁵

4.2.3.1.2 Desktop Overview

As illustrated in the CWS/CMS Architecture Document and in the figure below, the majority of the application logic resides in the client desktop including GUI presentation rules, business logic and rules.

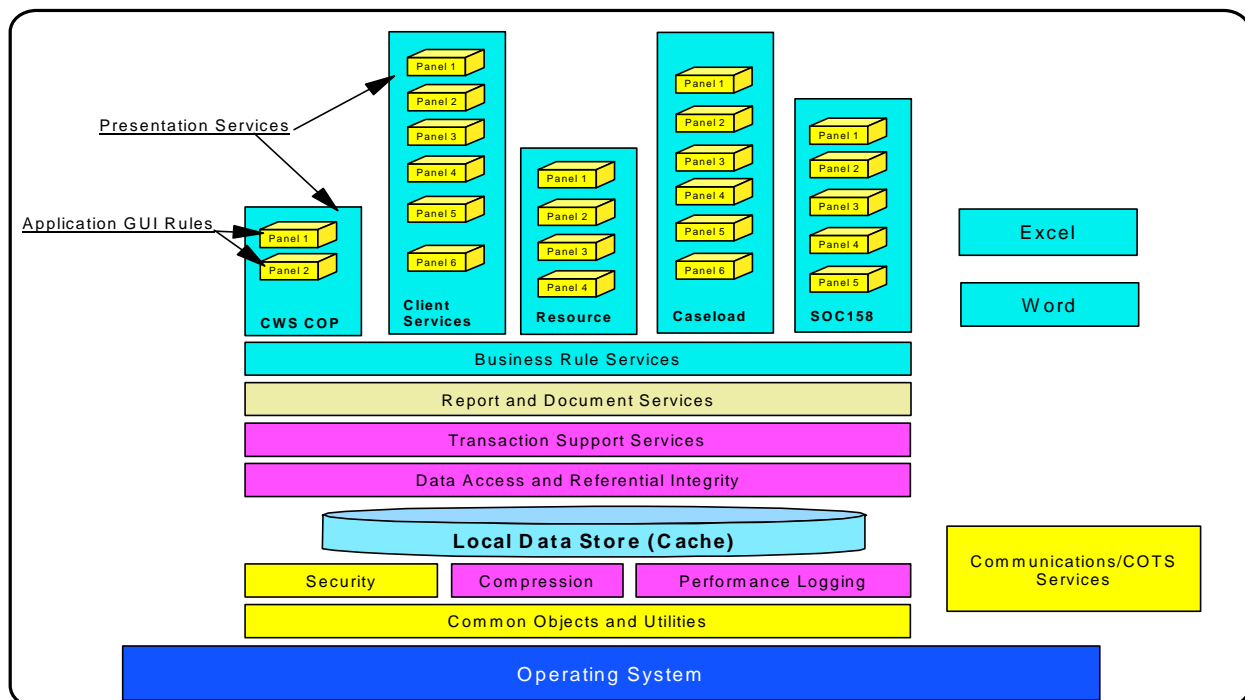


Figure 8 – CWS/CMS Workstation Technical Architecture

¹⁵ From CWS/CMS Architecture Document

The CWS/CMS application currently operates on the Windows 2000 platform. The CWS/CMS workstation client software architecture consists of several application layers. These layers include:

- **Presentation Services** – The Presentation Services component is the graphical user interface (GUI) provided to the user. The presentation service is provided via a Windows desktop PC or laptop.
- **Business Rule Services** – These services provide the application business logic unique to each functional area. At the workstation, both early verification (using the GUI business rules), and late verification use application rules to provide accurate information.
- **Security Services** – All traffic between the CWS/CMS desktop and the host application is altered from clear text prior to transmission over the network and to the host.
- **Transaction Services** – The data traveling between the workstation and the host is organized into packets or transactions. The Transaction Services component creates these data transactions and transports the information to and from the host. The infrastructure supporting this is based on IBM's three-tier Customer Information Control System architecture (CICS components in the user workstation communicate to the CICS gateway components residing on the county server that in turn communicates to the backend CICS component on the mainframe).

The Desktop client interacts with the IBM mainframe server host at IBM's data center facility in Boulder, Colorado. The host is the main repository for data, code tables, and document templates and store all data related to a case.

- **Application/County Server Overview** – The application server (or county servers) functions as a middleman between a group of PCs (associated with a county or site) and the host. The design and use of an application server was very typical in the early client server days for very large enterprise applications. The application server was used to minimize traffic and the number of connections between the host and desktops.

The application server is also used as a staging area for software distribution to reduce bandwidth congestion. Rather than distributing new code releases to 16,683 desktops over the wide area network, software is first distributed to the application servers over the wide area network (WAN), which in turn is responsible for distributing software to the local PC over local network resources (LANs).

Based upon user population, each county uses one or more CWS/CMS application servers. The application server is hosted locally in county server rooms. The application server was a common design at the time and was designed to perform several functions including:

- **Transaction Support** – Off load various communication functions from the workstation to the server. The county server connects to the host using IBM SNA APPC Lu6.2 protocol;
- **Reduce Network Transactions** – Provide a staging point for software and code table distribution to reduce bandwidth over the network;
- **Security and Compression** – Provide additional security functionality including compression and encryption of traffic over the WAN network;

- ❑ **CWS Administrator** – Provide local administrator with capabilities to locally manage resources and staff; and
- ❑ **Redundancy and Recovery** – Provide redundancy and recovery capabilities by rerouting traffic over different networks in case of network outage.
- **Backend Host Overview** – The core component of the CWS/CMS system is the IBM S/390 mainframe computer or *host*. The primary roles of the host are to provide database and transaction services. CWS/CMS is built upon the IBM DB2 database. All CWS/CMS data is stored in a series of database tables and is accessed through CICS transactions (Table 12) generated from the workstation CWS/CMS application. The transactions are processed by the CICS transaction monitor and are programmed using the COBOL language.

Table 12 – CICS Transaction Overview

Category	Number of CICS Transactions
Case Open	285
Case Close	25
Search	28
Documented Related	4
Total	342

IBM designed a transaction architecture under the CICS environment to support the desktop client and the business processes of caseworkers at the time of design. The transaction design is comprised of three major layers:

- ❑ Compression/Decompression of input from the workstation;
- ❑ A framework for dynamically linking a sequence of procedural routines (XPD) depending on the transaction identifier; and
- ❑ Data access packets based on Structured Query Language (SQL) statements that are invoked by the XPD transactions.

- **Reporting** – Reporting requirements within CWS/CMS are satisfied by several methods. Specific user community needs are addressed through different sets of tools and data access paths and repositories. There are four basic categories of reporting in CWS/CMS:

1. Standard Program Management reports (PM);
2. Ad hoc reporting run against the CAD;
3. Quality assurance and regulatory compliance reporting services from Safe Measures®; and
4. Ad hoc reporting run against the production database via Statistical Analysis System (SAS) software.

It must also be noted that several counties employ their own data warehouse, data marts, reporting, and/or business intelligence (BI) software for satisfying reporting needs within their county.

- **Standard Program Management Reporting** – The primary means of reporting in CWS/CMS are the standard PM reports. These are available online within the application. The PM reports are predefined and automatically generated by the system. These reports are static.
- **County Access to Data** – A key component of the CWS/CMS architecture is the CAD. CAD was developed to help counties and California Child Welfare Service agencies fulfill their many constituents' reporting requirements. The CAD solution contains one statewide view and 58 county views of the data contained within the CWS/CMS. These views allow a county to only view its own data. In contrast to the production database, the CAD “denormalizes” some data tables to better accommodate these additional “views” and to increase query performance – CAD is optimized for query vs. update.

The majority of CAD users (200+) uses the CWS/CMS data warehouse and associated data marts for ad-hoc reporting and analysis. These CAD users access the data warehouse using the Business Objects report tool suite, located on selected CWS/CMS desktop workstations. An encrypted network tunnel is established between their desktop and the CAD server to provide a secure transmission of data to and from the data warehouse. The CAD server is currently co-located in the CWS/CMS Project Office in Sacramento and is connected to the HHSDC via a high-speed T1 network link.

Since CAD is not part of the State owned infrastructure, access and usage is limited to the number of purchased licenses.

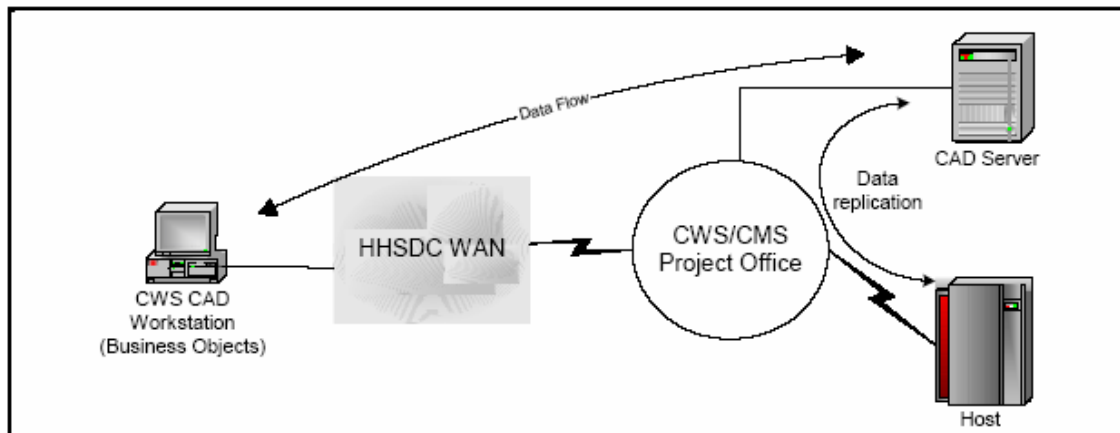


Figure 9 – CAD Architecture

Some key characteristics of the CAD architecture include:

- The CAD warehouse database is refreshed weekly thus data can be up to one week old (weekly updates are the result of business processes and are not a system limitation)
- The data in CAD includes all production data minus the Microsoft Word document data that is often associated with an individual case
- The CAD data warehouse includes customized aggregation and roll-up reporting tables to ensure faster reporting
- Counties can only access their own data (not a system limitation)
- The current size of the CAD data warehouse is approximately 120 GB
- ❑ **Safe Measures®** – This is a web-based data reporting system that captures data from the child welfare database and links these data elements to key performance standards. The Children’s Research Center (CRC), a division of the National Council on Crime and Delinquency (NCCD), provides the Safe Measures service. The Safe Measures data mart is loaded via twice-weekly feeds from the child welfare database.

Safe Measures organizes case data according to performance on state regulations and federal outcome measures. It allows managers and supervisors to track key metrics and case requirements such as:

- Timely social worker visits with children and families
- Regularly scheduled medical and dental appointments for children
- Case closure deadlines
- Cases lacking required documentation

- ❑ **SAS Analytical Tools** – To provide CDSS power users access to current data necessary for executive level reporting, IBM allowed a few power users direct access to the production database using SAS analytical tools. This feature is not generally available to the counties.

SAS tools allow these specific users to create ad hoc queries, run against the “real time” production data. Because of the timeliness (up to a week old) and restricted nature

(county by county) of the CAD data, the SAS tools are the only way to accomplish this type of reporting. It should be noted that the SAS reporting runs at the lowest priority on the production system.

Table 13 – Ad Hoc Reporting Licenses

License Holder	# of Licenses
CDSS	7
Project Offices	2
Counties (4 counties)	12
Total Licenses Assigned	21
Total Licenses Available	22

4.2.3.1.3 Technical Infrastructure Overview

As shown in the figure below, the CWS/CMS technical infrastructure is comprised of multiple hardware and software components that make up the system-wide architecture. In its simplest form, CWS/CMS consists of the following major components:

- County LAN Infrastructure
- Statewide Wide Area Network
- Service Delivery Center (Boulder Data center)
- Remote Access Infrastructure
- Internet Access Infrastructure
- E-mail/Exchange Infrastructure
- CAD Infrastructure

CWS/CMS Technical Infrastructure

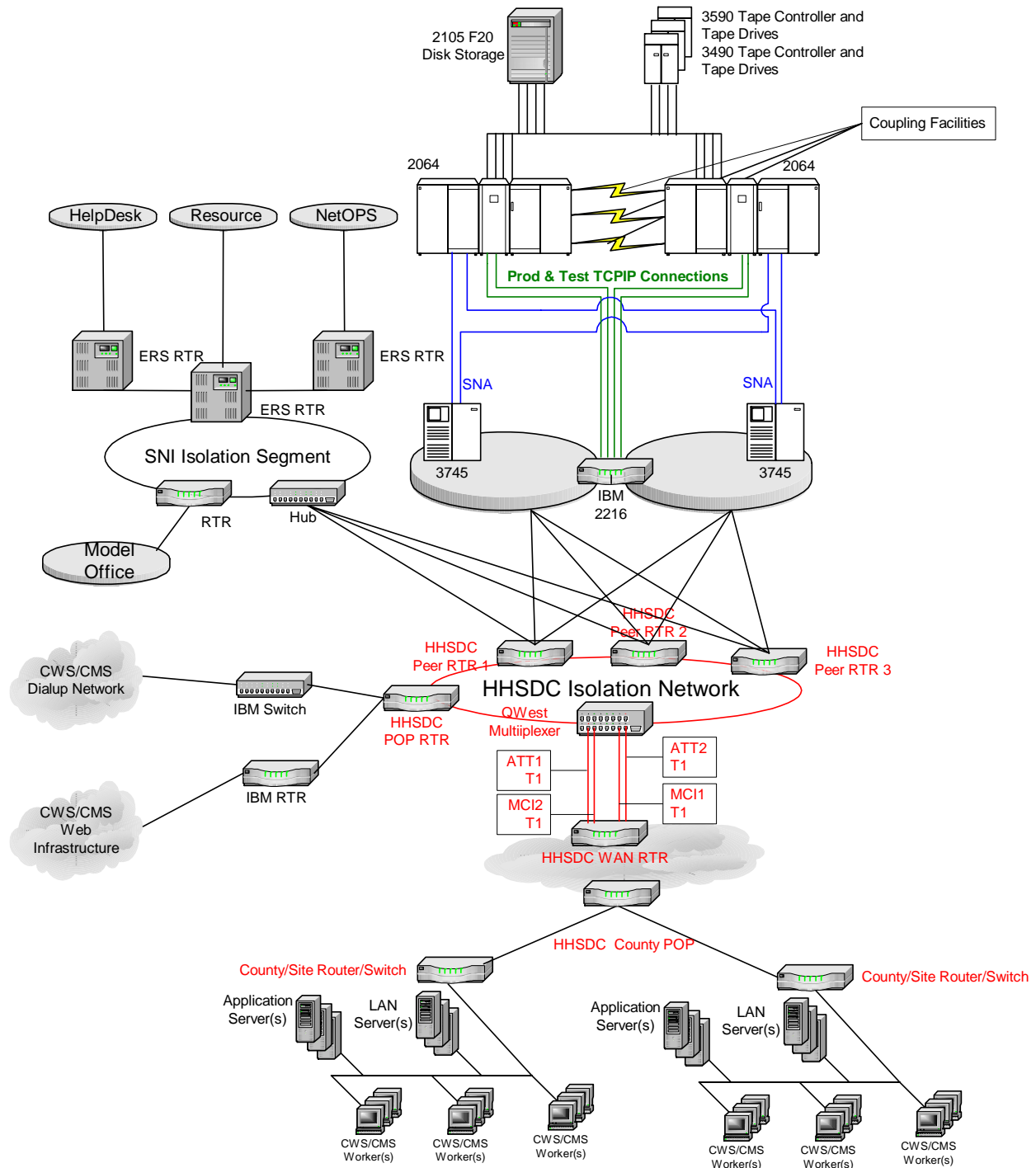


Figure 10 – Overview of CWS/CMS Technical Infrastructure

- **County LAN Infrastructure** – Each CWS/CMS client county has its own unique characteristics based on local network conditions and topologies with different physical conditions and other variables. County infrastructures are classified as either “dedicated” or “coexistent” depending on the CWS/CMS Project’s level of support in the LAN.

Dedicated counties entered into an agreement under which IBM Global Services is designated to be the agency responsible for the installation and maintenance of CWS/CMS applications and related operating hardware and software. Dedicated county LANs are 10-MB Ethernet networks that are connected to the HHSDC WAN. There are 37 dedicated counties with 113 sites that range from single server to multiple server sites.

Coexistent counties agreed to use the CWS/CMS suite of applications, but still retain responsibilities for the maintenance of related operating hardware used by the CWS/CMS application Network Infrastructure. There are 22 coexistent counties with 279 sites.

- **Site Topology** – Sites with four or less users may be connected to a remote server at the discretion of the county and/or State. Sites with between 1 and 125 users are allocated a single application server that performs application services, domain authentication, and file and print services (if applicable). HHSDC and/or the county maintain the physical local area network. IBM Global Services maintains the logical configuration of the hubs and switches located in dedicated counties. All sites that are allocated servers have at least a T-1 circuit attached to them. The figure below depicts the connectivity to a Single Site county environment.

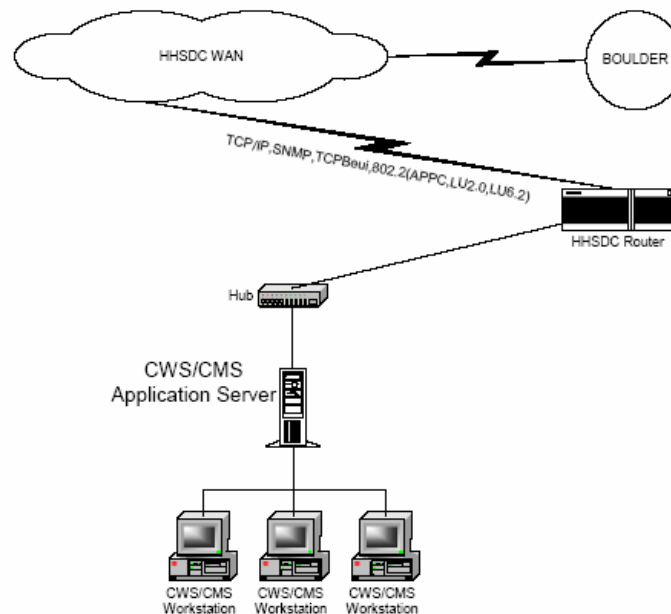


Figure 11 – Single Site Infrastructure and Topology

Counties may consist of multiple sites within a single domain. Standalone sites have servers that service a local site and possibly remote sites. Remote sites are not serviced by a local server, but they use a connected server that resides at another county site. HHSDC manages the logical topology and management of the circuits. The figure below depicts a multiple site topology.

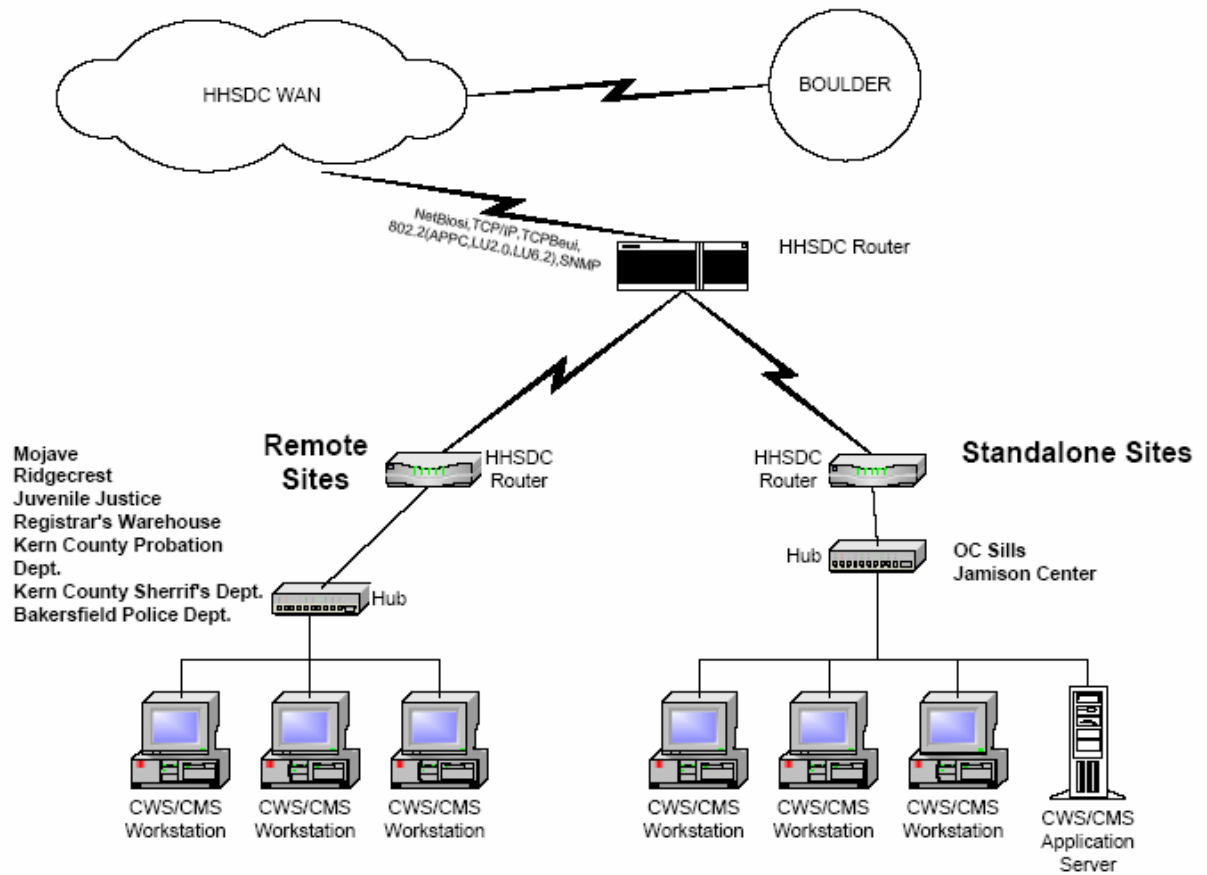


Figure 12 – Multi-Site Topology (Example: Kern County)

- **Local LANs** – The CWS/CMS workstations and servers in each of the 58 counties are connected by either a Token-Ring or Ethernet Local Area Network. Each local area network may contain one or more network hub and or network switches that route all network traffic to the HHSDC Wide Area Network (WAN). IBM provides, monitors, and supports all network devices within Dedicated CWS/CMS Counties, and provides limited network monitoring within Co-existent County LANs. Dedicated county LANs are 10-MB Ethernet networks that are connected to the HHSDC WAN.
- **State Wide Network (WAN) - HHSDC Infrastructure** – The State of California Health and Human Services Agency Data Center provides the Wide Area Network (WAN) for CWS/CMS. The network logical topology is illustrated in the figure below. Each of the 58 counties is provisioned with a dedicated network router that enables CWS/CMS application traffic to flow from the county network to the IBM Service Delivery Center (SDC) in Boulder, CO. The network link from each of the counties will vary in bandwidth depending on the user

population for that county. IBM coordinates network monitoring with HHSDC staff to provide 24x7x365 service.

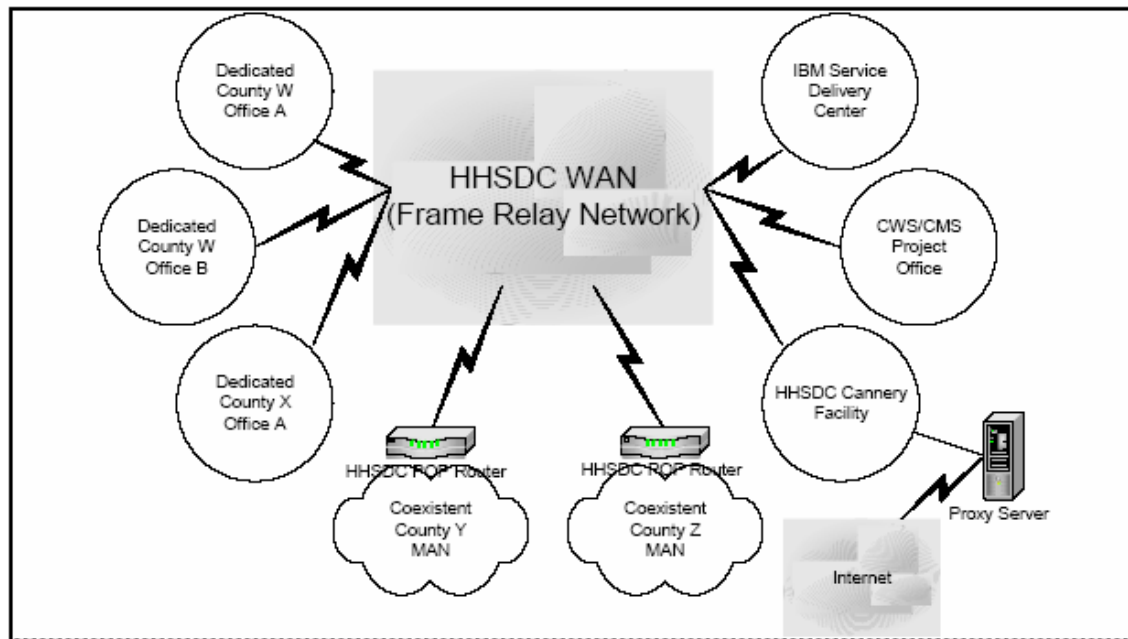


Figure 13 – HHSDC WAN Network Topology

The IBM SDC is connected to the HHSDC WAN via four T1 network links, each providing 1.44 Mbs of network bandwidth. The T1s and associated network routers are configured for high availability in such a way that, if there is any loss of one or more of the links or routers, the network traffic will automatically be routed to the available links.

Additionally, in support of external interfaces, host-to-host connectivity is provided between the CWS/CMS host and the State Medi-Cal Eligibility Data System (MEDS) and the Licensing Information System (LIS) hosts. The gateway service on the local county application server provides terminal emulation connectivity from the user's desktop. In selected counties the gateway service also provides connectivity to county-specific host systems.

- **Service Delivery Centers (CWS/CMS HOST) – Data Center** – The core component of CWS/CMS is the IBM S/390 mainframe computer or *host*. The primary roles of the host are to provide the database and transaction services. The mainframe operates in a parallel sysplex¹⁶ environment with *two* Central Processing Units (CPUs) to support the availability and reliability requirements for CWS/CMS. This configuration provides the 24x7 support for the application and allows one of the CPUs or related components to be taken down for maintenance without impacting the availability of the database and/or transaction services.

CWS/CMS is built upon the IBM DB2 database. All CWS/CMS data is stored in a series of database tables and is accessed through the transactions generated from the workstation

¹⁶ A "sysplex" is a collection of MVS systems that cooperate, using certain hardware and software products, to process work.

CWS/CMS application. The transactions are processed by the CICS transaction monitor and are programmed using the COBOL language.

- **Remote Access** – The AT&T Network dial-up network shown in the figure below provides dial-up users with remote access to the CWS/CMS application via standard telephone company circuits. AT&T Network Services, contracted through IBM, provides a single POP to the central data processing facility (CDPF) located in Boulder Colorado. Data traffic generated by the dial-up user is delivered to the CDPF and then routed across the WAN/MAN to the user's logon domain.

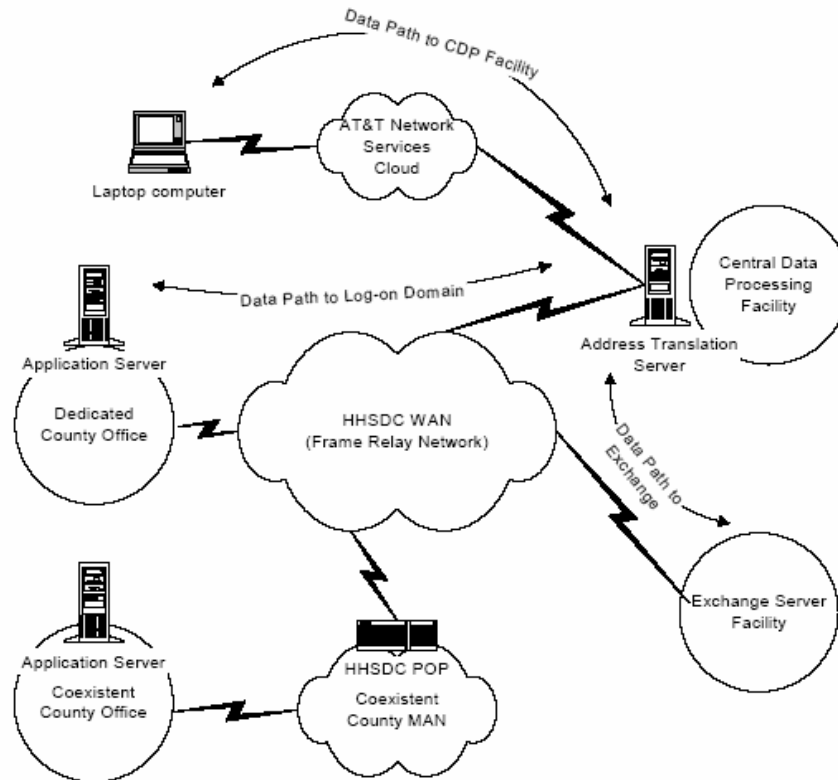


Figure 14 – Remote Access Infrastructure

- **Internet Access Infrastructure** – The Health and Human Services Data Center (HHSDC) houses and manages the CWS/CMS Internet Access infrastructure. The CWS/CMS Web site [www.cwscms.cahwnet.gov] hosts both static as well as the dynamic content. The content includes an on-line resource center for on-line registration of CWS/CMS training classes, delivery of Web-based training modules and the xTools database utility for download.

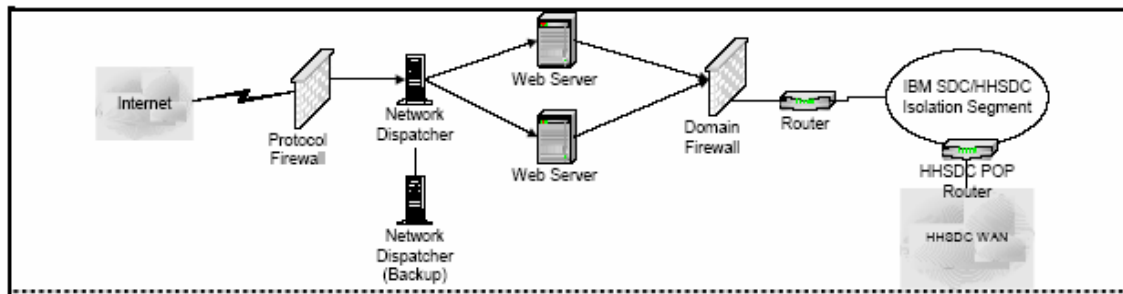


Figure 15 – Internet Access Infrastructure

The Internet Access infrastructure consists of network load-balancing servers, multiple Web servers, and a scaleable Internet connection. The load-balancing servers use the WebSphere eNetwork Dispatcher; the Web server runs the WebSphere Application Server as well as the IBM HTTP Server. Web-based application components are Java and HTML based.

The Internet Access infrastructure is isolated from the Internet and CWS/CMS networks through the use of multiple protocol firewalls that form a “demilitarized zone” (DMZ), preventing unauthorized access. The Internet firewalls are routinely monitored for unauthorized access and possible vulnerabilities. In addition, the IBM Network team performs routine penetration testing against the Web servers to detect well-known Web server vulnerabilities. The CWS/CMS State project staff manages the list of accessible Web sites.

- **E-mail (Exchange)** – As part of the contract, users at dedicated counties and some coexistent counties are provided with e-mail service via the Outlook 98 workstation application and MS Exchange.

To consolidate the management and maintenance of Exchange, a central server facility (shown in the figure below) was established in Sacramento to service the smaller dedicated counties (under 150 users). The largest dedicated counties and coexistent counties that use the CWS/CMS Exchange services are provided with an Exchange server located within the county. Exchange Clients can access their e-mail from their workstation on the LAN or through a dial-up connection provided through the AT&T Network Services dial-up network.

The local Exchange servers are included in the county LAN environment. Counties that require their own e-mail system can be fully integrated into the Exchange network by the creation of a separate local Exchange site.

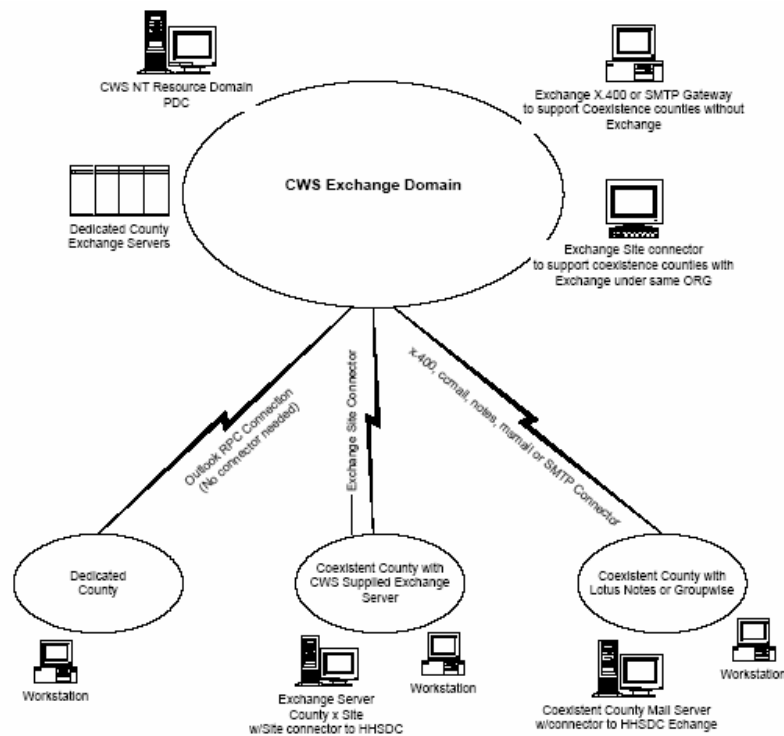


Figure 16 – Exchange Infrastructure

- County Access to Data Infrastructure** – The CAD users access the data warehouse using the Business Objects report tool suite, located on selected CWS/CMS desktop workstations. An encrypted network tunnel is established between their desktop and the CAD server to make a secure transmission of data to and from the data warehouse. The CAD server is currently co-located in the CWS/CMS Project Office in Sacramento and is connected to the HHSDC via a high-speed T1 network links. CAD runs on an IBM RS600 (AIX) server.

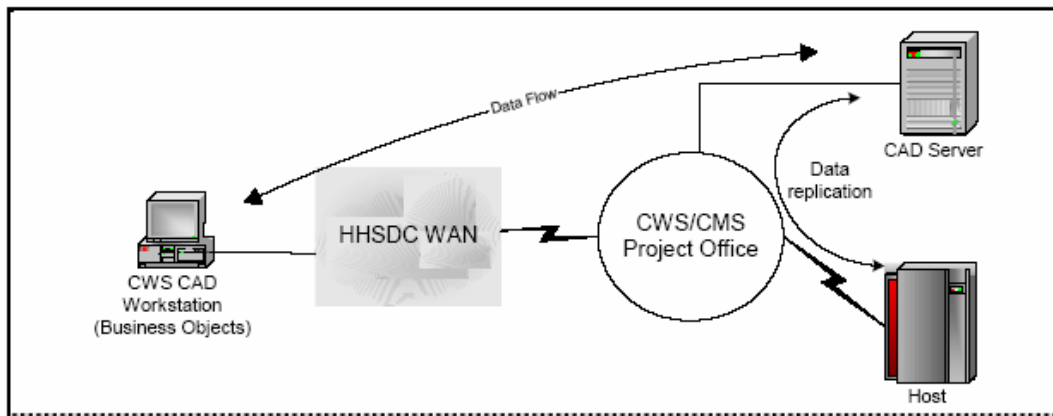


Figure 17 – CAD Infrastructure

4.2.3.1.4 CWS/CMS Information Security Architecture Overview

The CWS/CMS contains information that is highly confidential and sensitive in nature. The CWS/CMS security architecture is based on a layered model incorporating security controls in each layer. The security in each layers include:

- Desktop/LAN Security Components
 - ❑ Authentication by unique User ID and passwords – standard active directory logon scripts and network access security
 - ❑ Physical security of desktops
 - ❑ Data about cases are stored on the desktop
- Server Security Components
 - ❑ Case data is encrypted/(or compressed) when stored on local application server
- Application/Host Security Components
 - ❑ Application security is based on IBM's RACF security systems. Each user is uniquely identified to the system by dedicated representatives from the state, county or office security administrator using unique User ID and passwords
 - ❑ Access to cases, reports and data is based on pre-assigned user authority profile that restricts access to individual programs, reports and data on the host
- County Access to Data (CAD) Security
 - ❑ Same as mainframe security – handled by RACF
 - ❑ Users only have read access and cannot change data in data warehouse
- Network Security Components/Encryption
- Remote Access Security
- Logging and Tracking
 - ❑ Invalid User IDs and passwords as well as attempts are tracked in a security log
 - ❑ Logs are reviewed periodically by Security administrators based on local policies

- ☐ Automatic revocation of User ID and passwords after a pre-defined number of attempts
- **Data Backup and Recovery**
 - ☐ Data is backed up daily on both the host and the local application servers
 - ☐ Tapes are moved off-site on a daily basis
- **Physical Security**
 - ☐ Mainframe protected in data center
 - ☐ Access to data center controlled by badges
 - ☐ Server must be placed in locked rooms
 - ☐ Servers and workstations (in dedicated environments) have case locks
- **Security Management** – Each county has a dedicated security manager responsible for:
 - ☐ Managing User ID and password (add, change, delete, reset, etc.)
 - ☐ Managing access control and authority levels
 - ☐ Managing e-mail security
 - ☐ Review of security logs
 - ☐ Managing physical security for servers and workstations and communication for county

4.2.3.1.5 Software Distribution Infrastructure

CWS/CMS uses Tivoli Software Distribution software to deliver software to the CWS/CMS Windows 2000 servers.

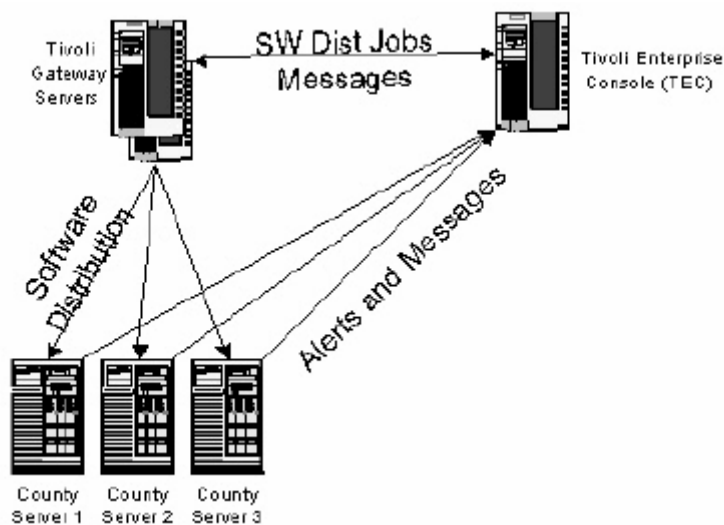


Figure 18 – Software Distribution Infrastructure

4.2.4 Infrastructure Inventory and Data

4.2.4.1 Infrastructure Summary

Table 14 – Infrastructure Hardware Summary

Hardware	Total
Desktops	16,683
Application Servers (County-based and State-owned)	304
E-mail (Exchange) Servers	18
Host Routers (in Sacramento, CA and Boulder, CO)	5
County and HHSDC Routers	262

Table 15 – Infrastructure Software Summary

Software
Workstation Software
Windows 2000
CWS/CMS Application
Word 97
Outlook 98
IBM Personal Communications
Office 97 Standard– Excel 97, PowerPoint 97
Internet Explorer
AT&T Global Dialer
CWS/CMS On-Line Release Notes
Computer-Based Training
CWS/CMS Web Services Software
■ Adobe Acrobat Reader
■ Web-Based Training
■ xTools
CAD Software
■ Business Objects
■ SafeNet VPN
■ DB2 CAE
Norton Antivirus
Software Distribution Service
■ Login Scripting
■ CWS File Transfer
■ Network Auto-installer Program
IBM Director
Power Quest's Drive Image Pro
Network Services Interface
■ Windows 2000 Workstation
■ TCP/IP Protocol Stack
■ CICS Universal Client Name Resolution
Network Services

Software
Workstation Software
<ul style="list-style-type: none"> ■ Windows 2000 Workstation ■ DHCP Support-Name resolution ■ DNS Support ■ WINS Support
Windows 2000 Workstation File and Print Services
Server Software
Tivoli Service Desk
Host Integration Solution Internet Concur (PCOM 3270 Replacement)
Antivirus
Netfinity
Infrastructure Support Software
IBM Netfinity Director
Network Autoinstaller Program (NAP)
Tivoli Netview Systems Monitoring
Tivoli Software Distribution
Tivoli Storage Manager
Symantec Norton Antivirus
Windows 2000 tools <ul style="list-style-type: none"> ■ Active Directory ■ Backup and Recovery utilities ■ Terminal Server

4.2.4.2 Server Summary

There are 79 domains across the Intel servers. CWS/CMS has the following software on their servers:

- Tivoli Service Desk
- Host Integration Solution Internet Concur (PCOM 3270 Replacement)
- Antivirus
- Netfinity

The following is an inventory of all servers associated with CWS/CMS:

Table 16 – Inventory of Intel Servers

Server	Total
IBM-owned Servers within Project Office	20
County –based and State-owned Application Servers	304
State-owned training Servers	16

Server	Total
Customer Support Servers (Boulder)	9
Network Services Servers (Boulder)	41
Total	390

Table 17 – Inventory of Sacramento Project Office Servers

Server	Total
Workstation Support	4
Test Servers	5
Sacramento Project Office	20
Application Development	3
Tech Services	6
Sacramento Development	2
Total	40

Table 18 – Inventory of AIX RISC Servers

Server	Total
Sacramento	
CAD	2
WEB / RTS	1
Boulder	
Network Management	6
Server Management	4
Customer Support Services	1
WEB / RTS	2
Total	16

Table 19 – Inventory of Exchange Servers

Server	Total
Exchange Farm	7
Exchange Farm Boulder	1
Local Exchange Servers	11
Total	19

Table 20 – Inventory of EUS HWSW Maintenance Servers

Server	Total
Windows 2000 County Intel Servers	304
State Owned Infrastructure Servers	14
Exchange Servers	10
Total	328

Table 21 – Inventory of Infrastructure Servers in Boulder (IBM Owned)

Server	Total
Customer Support Services	5
Network Management	0
Server Management	36
Total	41

Table 22 – Inventory of Infrastructure Servers (State Owned)

Server	Total
Sacramento PO	5
Boulder Host Site	9
Total	14

4.2.4.3 Workstation Summary

The following tables provide an inventory of workstations within the counties and software installed on those workstations, as of June 2004.

Table 23 – Inventory of Workstations by County

County	Total
Alameda	691
Alpine	2
Amador	8
Butte	156
Calaveras	16
Colusa	6
Contra Costa	479
Del Norte	40
El Dorado	51
Fresno	708
Glenn	41
Humboldt	147
Imperial	70
Inyo	13
Kern	473
Kings	96

County	Total
Lake	28
Lassen	28
Los Angeles	5266
Madera	48
Marin	62
Mariposa	19
Mendocino	101
Merced	110
Modoc	12
Mono	7
Monterey	191
Napa	29
Nevada	18
Orange	1,187
Placer	163
Plumas	7
Riverside	822
Sacramento	600
San Benito	17
San Bernardino	20
San Diego	1,906
San Francisco	345
San Joaquin	354
San Luis Obispo	177
San Mateo	20
Santa Barbara	113
Santa Clara	479
Santa Cruz	174
Shasta	3
Sierra	4
Siskiyou	38
Solano	168
Sonoma	224
Stanislaus	196
Sutter	35
Tehama	57
Trinity	19
Tulare	185
Tuolumne	19
Ventura	199
Yolo	68
Yuba	69
CDSS	100
Statewide Total	16,683

Table 24 – Inventory of Workstation Software

Component Services	Application	Requirement
Operating System	Windows 2000	Required
CWS/CMS Application	CWS/CMS Application	Required
Word Processing	Word 97	Required
E-Mail Client	Outlook 98	Optional in Coexistent Counties
3270 Emulation	IBM Personal Communications	Optional in Coexistent Counties
Office Productivity Suite	Office 97 Standard– Excel 97, PowerPoint 97	Optional in Coexistent Counties
Network Browser	Internet Explorer	Optional in Coexistent Counties
AT&T Network Services	AT&T Global Dialer	Optional in Coexistent Counties
Application Help Services	CWS/CMS On-Line Release Notes	Optional
CWS/CMS Training Services	Computer-Based Training	Optional
CWS/CMS Web Services	Adobe Acrobat Reader Web-Based Training xTools	Optional in Coexistent Counties Optional Optional
County Access to Data	Business Objects SafeNet VPN DB2 CAE	Optional
Antivirus Services	Norton Antivirus	Optional in Coexistent Counties
Software Distribution Service	Login Scripting CWS File Transfer Network Auto-installer Program	Optional in Coexistent Counties Required Optional in Coexistent Counties
Workstation Management	IBM Director	Optional in Coexistent Counties
Workstation Recovery Service	Power Quest's Drive Image Pro	Optional in Coexistent Counties
Network Services Interface	Windows 2000 Workstation TCP/IP Protocol Stack CICS Universal Client Name Resolution	Required Required
Network Services	Windows 2000 Workstation DHCP Support-Name resolution DNS Support WINS Support	Optional in Coexistent Counties Required Optional in Coexistent Counties
File and Print Services Interface	Windows 2000 Workstation File and Print Services	Print Services Optional in Coexistent Counties Shared File Services not supported in Coexistent Counties

4.2.4.4 Summary of Mainframe Environment (Existing)

4.2.4.4.1 Mainframe Application and Database Server

The mainframe application server, written in COBOL, serves as the gateway between the client tier and the central database. The application prepares the case data for updates and enforces the Optimistic Concurrency strategy. The database interface is written in SQL. The central database is deployed using DB2 with services generated by the SQL dialogs from the mainframe application server. The primary database is for case records and a supplemental database is for associated Word documents.

4.2.4.4.2 Host Hardware

The host is configured of 2 OS/390 servers (2064-103 and 2064-104) in a parallel sysplex running OS/390 version 2.10, with 1474 MIPS of capacity, 48 gigabytes of internal memory and 1.6 terabytes of direct access storage available.

A main data storage unit for CWS/CMS is an IBM 2105-F20 Shark Enterprise Storage Server. It includes 16 gigabytes of resident cache memory, which reduces data storage access times, improves response times, and improves CPU efficiency. It includes full RAID 5 redundancy to ensure data availability even if a disk drive fails.

Table 25 – Inventory of Host Hardware

Component	Model	Type	Qty
CPU1	2064	103	1
CPU2	2064	104	1
Tape	3490		12
Tape	3590		8
Tape Library	3494		1
Sysplex Timer	9037	Mod2	2
DASD	2105	F20	1
Coupling Facility	9674	C05	2
Front End Processor	3475	410	4

4.2.4.4.3 Host Services

The Enterprise host platform provides the central operating system services that support the application architecture's database. This host manages the transaction load provided by the distributed user community and houses the statewide central database. The components deployed on the central Enterprise host are listed below:

- Transaction Support Services
- Compression
- Performance Logging
- Security
- Communications/COTS Services

- Data Validation/Consistency Checking
- Data Access and Referential Integrity
- Post Business Rule Services
- External Interfaces.

The Enterprise host acts as the application's SQL engine, providing the persistence for the application's information and the transaction support that extracts and packages the user's perspective of the statewide information for delivery to the desktop cache and presentation layer.

Several of the components or services shown above are ancillary to the Enterprise's host's primary mission to provide access to persistent child welfare information. These components and several routines are important and will be discussed in the context and framework of the central platform's primary mission.

4.2.4.4.4 Infrastructure Support Software

CWS/CMS uses the following software for infrastructure support:

- IBM Netfinity Director
- Network Autoinstaller Program (NAP)
- Tivoli Netview Systems Monitoring
- Tivoli Software Distribution
- Tivoli Storage Manager
- Symantec Norton Antivirus
- Windows 2000 tools
 - Active Directory
 - Backup and Recovery utilities
 - Terminal Server.

4.2.4.5 Summary of Mainframe Environment (Future)

4.2.4.5.1 Overview of HHSDC Data Center Infrastructure

The State has elected to host the CWS/CMS application at the State Data Center using State resources to provide operations support because of the following reasons:

- **Opportunity to improve the CWS/CMS Subsequent Application Services Maintenance Procurement Process**
 - Level the playing field for all vendors and eliminate any advantage the incumbent vendor might have from having fully amortized its investment in hardware and data center infrastructure through the present CWS/CMS contract.
 - Eliminate costs associated with transferring the application to a new vendor's facility each time an incumbent bidder fails to win the subsequent contract.

- ❑ Reduce costs by hosting the application at a State data center where costs are recovered but no profit margin is charged.

■ Opportunity to Better Control Hosting-Related Program Costs

- ❑ State gains a more open and discoverable environment with regards to application metrics, structure and cost basis.

■ Compliance with Federal Directives

- ❑ Assists the State in complying with federal direction to maximize competition for the subsequent CWS/CMS procurement.
- ❑ Separating hosting services from the rest of the procurement satisfies this directive and supports the State's efforts to fully restore federal funding to the SACWIS funding level from its non-SACWIS funding level.

■ Conform to the State Data Center Operations Consolidation Plan

- ❑ Moving CWS/CMS from its current host environment in Boulder, Colorado to HHSDC contributes to the State's objective to consolidate mainframe, server, and messaging operational support.

The State will continue outsourcing application maintenance services because the requisite expertise and skill sets required to perform these services are not typically found in State government. The application will be configured at HHSDC based on its current configuration at IBM's mainframe processing facility in Boulder, Colorado. After the application is successfully operating at HHSDC, those few IBM software products that differ from standards used at HHSDC (e.g., application job scheduling software) will be migrated to equivalent HHSDC software product standards.

4.2.4.6 Network Infrastructure

The network infrastructure components include:

- 18 Outlook Exchange servers, 7 in Sacramento, 10 at county locations, and 1 in Boulder
- 397 project sites
- 5 Host routers in Boulder and Sacramento
- 48 County & DSS Remote Monitoring (RMON) units
- 402 County Hubs and Switches
- 261 County uninterruptible power supplies
- 10 Boulder switches and hubs

In addition, the following units are monitored by Network Services:

- 304 County application servers
- 41 Boulder infrastructure servers
- 262 County and HHSDC routers.

4.2.5 CWS/CMS Operation and Support

4.2.5.1 Overview of CWS/CMS IT Support Organization

In addition to the CWS/CMS IT Support described in the CWS/CMS Management section above, CWS/CMS operational support services provided by IBM can be decomposed into the following key service organizations:

- Project Office
- CWS/CMS Application Maintenance
- Network Services
- Managed Operations
- End User Support

4.2.5.1.1 Project Office

The Project Office includes IBM's CWS/CMS project management, project administration, project financial, project quality assurance and project team lead staff required to support operations and maintenance efforts. The project at the Project Office consists of 90 IBM staff and 75 State employees or consultants. Project Office activities include:

- Contract negotiation and management
- Contractor staff supervision
- Project accounting and billing
- Purchasing and supplier management

- Lease administration
- Preparation and publication of project documentation
- Arrangements and costs for project meetings
- Project presentations
- Configuration management
- Coordination with user groups
- Ongoing quality assurance and CMM Level 3 implementation coordination

4.2.5.1.2 CWS/CMS Application Maintenance

CWS/CMS Application Maintenance includes the following activities:

- Level 3 response to problem tickets created by Customer Service Center staff in response to user calls
 - Activities include researching the problem to see the root cause and initiating a system change request if appropriate, i.e. corrections to the application are necessary.
- In response to system change requests, CWS/CMS Application Maintenance is responsible for developing the following:
 - Expanded reporting on existing data;
 - Corrections and extensions to accommodate existing business rules;
 - Corrections to the application for events that occur infrequently and were overlooked during earlier design efforts; and
 - Passing requests for adaptive or perfective development to the appropriate project team following review and analysis of change requests.
- Packaging groups of corrective maintenance items into interim releases, and supporting the deployment of these releases

Activities in Application Maintenance do not include developing changes in infrastructure, incorporating statutory or regulatory changes, or adding user-desired or other functionality outside the original system requirements, except in minor cases involving minimal effort to satisfy end user business needs. Adapting the application to new technical environments or business processes, and adding additional functionality, are considered for funding under the System Change portion of the CWS/CMS contract. These activities are conducted through the work authorization process included in the CWS/CMS contract.

Application Maintenance includes designer, developer, and programmer support to the existing application, from staff responsible for responding to user problems and requests. The demand for application maintenance is driven by six Interim releases issued annually; 150 system change requests annually; and 1,600 data recovery requests to correct cases that users have updated with erroneous or invalid data.

- **Application Maintenance** – The 34.1 FTE that staff Application Maintenance are responsible for the following activities, and must be available to participate in assisting the customer support center with level 3 problem tickets across all activities:

- ❑ **Architecture** – defining, updating, sizing and matching application support to the existing logical architecture, as well as identifying necessary changes to architecture as CWS/CMS matures and expands.
- ❑ **Design** – logically defining how the application will process CWS business events.
- ❑ **Software configuration management** – managing the coordination of code releases through development, testing and into production
- ❑ **Development database administration** – maintenance and change to the Relational Data Model that is the underpinning for CWS/CMS processes
- ❑ **External interface** – managing and updating the exchange of data between CWS/CMS and external users, including batch processes that create extracts
- ❑ **Host interface** – managing maintenance and changes to the application at the Host Mainframe level, including coding and testing, resource impact analysis, and host Relational Data Model
- ❑ **Infrastructure** – coordinating the interface between Host and workstations, including generating release code at the workstation level
- ❑ **Program management reports** – developing and verifying project management reports in response to program needs
- ❑ **Local reports** – developing and maintaining reports used at the local level per customer requirements; This includes creation and maintenance of workstation templates
- ❑ **Workstation team** – code and unit test workstation program changes based on technical specifications from the design team that implement and maintain workstation business rules, navigation tools, and workstation documentation
- ❑ **Data recovery** – supporting recovery from data errors that arise either from user-created business scenarios or from application flaws. This involves managing a formal Data Deletion process
- **Application Maintenance – Testing** – The 12 FTEs that staff Application Maintenance for Testing Specific activities include the following:
 - ❑ Maintain an overall test strategy;
 - ❑ Establish, implement, and support thorough processes, standards, guidelines, and procedures for testing;
 - ❑ Coordinate testing efforts for maximum efficiency, minimal redundant effort and quality results;
 - ❑ Create, review, and integrate testing plans and identify dependencies;
 - ❑ Perform testing according to the test plans for applications, infrastructure, test environments, external interfaces, database, program management reports, local reports, CAD, data recoveries transactions, and Host;
 - ❑ Establish measurements, processes and tracking for critical success factors that can enhance testing and development organization effectiveness;
 - ❑ Develop and update test cases in accordance with release requirements and the rigorous full lifecycle testing methodology;

- ❑ Assist in problem determination and resolution;
- ❑ Identify current decision-making, issue resolution and escalation processes;
- ❑ Review CWS/CMS architecture and infrastructure to establish testing environments relative to the current dedicated county production state;
- ❑ Establish, test, manage, and support the test environments required to support application maintenance activities and verify that they are functional and support the needs of the test team, including:
 - Schedule environment time and resources,
 - Coordinate, install, and manage code delivery from development into the test environments,
 - Act as co-librarian for Workstation Development's source code,
 - Set-up the Test Environments for application tests (create User IDs, install additional system software, load application data, assist application with kickoff/setup script modification/creation) and validate that the environments are restored to base configuration after completion of each testing effort,
 - Verify that Test Environment documentation is complete, correct, and up to-date (problem log, test setup sheets, other documentation as specified by procedures),
 - Provide infrastructure support during testing as required (issue resolution, issue escalation to second level, setup modifications), and
 - Support all test tools used within the test environments;
- ❑ Be responsible for automation test tool acquisition, installation, validation, and use as a means of continued test improvement, including:
 - Validate that the tools are installed and functioning in the test environment according to the test schedule and prior to the Test Team needing them,
 - Coordinate with test tool vendor to resolve any tool problems incurred, and
 - Develop and maintain automated test scripts required for maintenance test activities.

4.2.5.1.3 Network Services

Connectivity between the county and project central sites is provided by HHSDC Wide Area Network (WAN), which includes HHSDC support of county- and state-housed routers. Responsibility for the CWS/CMS network thus is shared between HHSDC and IBM. IBM Network Services staff is responsible for ensuring that the suite of servers at the counties and the communications infrastructure at IBM's Boulder data center meet the performance level guarantees within the contract.

- **Server Management Labor** – IBM provides staff to support the suite of servers and related software products. Supported platforms include:
 - ❑ 390 Intel application servers, including 20 of the IBM-owned servers included within the project office hardware and software pool, 304 county-based and State owned application servers, 16 State owned training servers, 9 Customer Support Service (help desk) servers at IBM's Boulder facility, and 41 network services servers at Boulder;

- ❑ 79 domains across these servers;
- ❑ 16 AIX RISC servers, including: 2 CAD and 1 Web server in Sacramento; and 2 Web servers for the RTS problem and change request tracking system in Boulder; 6 network management servers in Boulder, 4 server management servers in Boulder, and 1 Customer Support Services servers in Boulder; and
- ❑ Outlook users.

Responsibilities of the staff include maintenance and support for the project office servers. They are responsible for service and maintenance for the county application and network support servers that are key to meeting the contract's service level guarantee. They operate and maintain a set of 47 network servers in Boulder that perform critical functions, including configuration management, software distribution, application version control, server image, remote server management, internet naming resolution, capacity monitoring and performance monitoring.

Server Management develops and maintains the scripts that install, configure and maintain the Outlook client on the workstations that subscribe to the project email offering. Installation consists of installing the Outlook software from the county CWS/CMS software distribution server onto the workstation. Configuration consists of modifying the Outlook client with the appropriate properties such as which Exchange server to use; maintaining consists of applying any software maintenance to the Outlook client. For interim releases, server management handles application code distribution to the servers for installation on all county workstations.

Server management staff applies the CWS/CMS application code changes to the software distribution servers. For most of the counties, IBM also distributes the code to the county desktops through IBM supported network "log-on" procedures. While some counties perform their own client installation, IBM provides full support to all the counties to make sure that all of the clients, servers and the mainframe are synchronized when there is a new release. This requires coordinating with all the various coexistent county standards.

This team also provides full Antivirus support (engine upgrades, signature file upgrades and problem identification and resolution) for all of the CWS/CMS servers and over 14,000 county desktops. Six co-existent counties do their own Antivirus support at the desktop level, while IBM supports all other users including the Outlook and Exchange services

The average cost of server support per year is \$9,100, which is equivalent to 16-18 servers per FTE.

- **Network Services Labor** – The Network Services staff supports the connectivity necessary for CWS/CMS online operations, data retrieval service (CAD) and project Outlook Exchange e-mail services available to users for CWS/CMS e-mail support. The Network Services staff monitors the components listed in 5.4 Network Infrastructure. In total, Network Services manages and/or monitors 1,339 system hardware components.

4.2.5.1.4 Managed Operations

These services include the centralized mainframe servers that host the applications primary databases and the hosted web-based services.

- **Host Services** – Mainframe operations staff performs 3,300 tape mounts a month, and schedule 10,500 batch jobs each month.
- **System Security** – System security staff maintains 19,000 user identification numbers, growing historically at a rate of 4% annually. The system security staff provides continuous security monitoring with planned monthly testing and reporting, plus the use of “sniffers” to perform random testing or in response to specific concerns.
- **Database Management** – Database Management staff varies in size based on need between 2 and 5 positions, and they are responsible for maintaining the relational databases that underlie CWS/CMS, including a relational database with 250 tables and 3000 attributes (corresponding to data fields). Activities include analyzing performance, managing indexes, and tuning as needed.

4.2.5.1.5 End-User Support

These services include what is sometimes referred to as a “help desk” activities, as well as direct support for dedicated county workstations, and State-authorized support for selected desktop and software issues for dedicated counties. IBM Customer Support Services (Helpdesk) provides a single point of contact for assisting the CWS/CMS application user in both dedicated and co-existent counties.

Tickets when opened are assigned a severity level, which ranges from high (repair necessary with 24 hours) to low (assignment as an item to be considered for a System Change rather than maintenance). Problem tickets are also assigned to various disposition cues, depending on the repair referral.

- **Technical Services Staff** – Activities of the technical services staff include the following:
 - ❑ Provide 8400 hours technical support to counties operating under the coexistent model, where county staff supports user desktops. Use of these hours requires prior State approval. This is approximately 20% of the technical services total cost.
 - ❑ Provide Level 2 help desk response to dedicated county workstations.
 - ❑ Certify State- or county-procured workstations for support in the CWS/CMS environment.
 - ❑ Provide image development and post-installation image recovery services for new PCs installed in dedicated counties.
 - ❑ Test workstation hardware and software configurations as these units are acquired by the counties or State and certify for support.
 - ❑ Create and maintain software image for installation on workstations acquired by counties or the State.
 - ❑ Support CAD users. This support is approximately 15% of technical services costs.

The Technical Staff's workload includes the following:

- ❑ 218 CAD users
- ❑ 3,200 dedicated county users at 37 counties, many in remote locations
- ❑ Technical support of project office site with 200 PCs

- ❑ Technical support for project office LAN supporting 90 IBM project staff

Technical Services assists the Server Management group with deploying application updates to end user desktops. Although the process is automated, desktop problems occur, and are resolved by this team.

The County Access to Data (CAD) data warehousing team provides downloaded databases running in the AIX environment and Business Objects as a query tool for responding to end user information needs. Their work includes ongoing development of the CAD database and operating procedures, as well as database management, coordination of CAD databases to the host database structures, and administration of the Business Objects query tool. They are supported by technical services staff, which performs host database downloads, and uploads of data to counties.

4.2.5.2 Overview of CWS/CMS Operational Support Processes

4.2.5.2.1 Problem Management

CWS/CMS has established a formal end-user support model comprised of three components:

- **Health and Human Services Data Center (HHSDC) help desk** – Responsible for wide area network communication support
- **County Help Desks** – First point of contact for end-users in co-existing counties
- **ISSC Help Desk (IBM Boulder)** – First point of contact for end-users in dedicated counties

Both HHSDC and ISSC Helpdesk use a three-tiered help desk support model:

- **Level 1** – Initial problem determination, logging and tracking and problem resolution
 - ❑ Level 1 staff receives extensive training in the application and its support software, in order to assist users with application utilization questions
 - ❑ Over 70% of calls are dealt with at Level 1 and do not generate a problem ticket, since most application-focused user problems can be resolved by the initial responder
- **Level 2** – In-depth problem determination, root cause analyses and problem resolution
- **Level 3** – Provides final resolution on defects

Customer Support Services Hours of support operations:

- **CWS/CMS Application Support:**
 - ❑ Monday through Friday - 6:00AM PST to 7:00PM PST
 - ❑ Saturday and Sunday - 12:00PM PST to 12:00AM PST
- **Infrastructure Support**
 - ❑ 24 hours a day, 7 days a week, 365 days a year

The figure below displays the number of calls handled by the SOC from July 2003 – September 2004. In September of 2004, the Help Desk handled 969 calls.

Total Calls Answered Versus Total Calls Abandoned

No more than 6% of calls at any point in time were abandoned. On average, only 97% of all calls were answered.

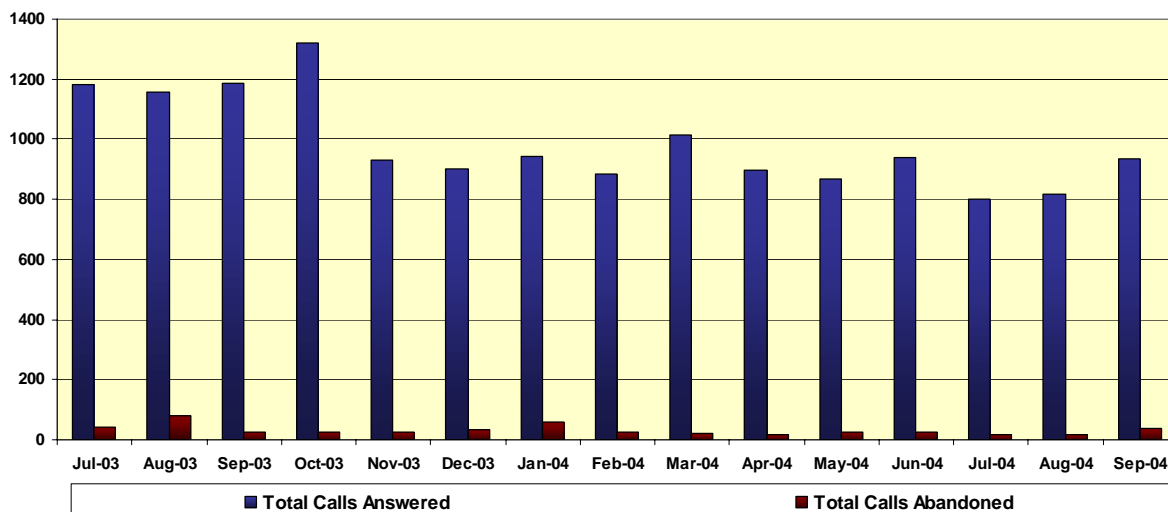


Figure 19 – Total Calls Answered and Abandoned – Monthly

4.2.5.2.2 Network and Systems Management

All production network devices (hosts, servers, switches, routers) are monitored for 24/7 availability, which is checked from the CDPF via Tivoli Netview. Netview checks the availability by sending a directed query against the machine's network interface card (NIC). If the NIC replies, the server or device is considered available. If a server or network device is unavailable or unreachable, the Operations staff at the CDPF recovers the resource or escalates support until the resource is available again. Problem and change processes interact with this monitoring service.

4.2.5.2.3 Software Distribution

The software distribution management services provide periodic updates to the existing applications used by CWS/CMS clients and to distribute new applications to the users. These services are used in the Windows 95 operating environments. The CWS/CMS Project uses several tools to manage the distribution of software updates to the field, as shown below.

Table 26 – Software Distribution Tools

Delivery Method	Target Platform	Description
User Logon Script Files	CWS/CMS Workstation	Scripts used to configure the CWS/CMS LAN environment for the CWS/CMS Workstation
Network Auto-installer Program	CWS/CMS Workstation	An application developed for State of California to facilitate the installation of CWS/CMS

Delivery Method	Target Platform	Description
(NAP)		supplemental applications.
Tivoli Software Distribution	CWS/CMS Server	Tivoli Software Distribution is a COTS application that facilitates the installation of software on the CWS/CMS Windows Server Infrastructure.

Dedicated counties are required to implement the project-sponsored software distribution architecture. Coexistent counties are responsible for providing software distribution services to CWS/CMS users using a county-owned and county-managed infrastructure. Logon Scripts are the primary method for initiating software distribution to the CWS/CMS workstation. The IBM Server Management Team configures logon scripts from a standard template but refines the template to meet Project, State, county, and site requirements. Custom installation management software such as NAP is also initiated from the logon script. NAP facilitates installation of supplemental software to the CWS/CMS workstation. NAP supports InstallShield software and installation methods developed specifically for State of California's CWS/CMS dedicated county workstation image.

Software distribution sub-scripts are customized within the logon scripts and executed as part of the logon process. Scripting provides the flexibility to manage either one user or the entire CWS/CMS enterprise.

4.2.5.2.4 Change Management Process Overview

The objective of the change management process is to provide a defined process that ensures installations, or modifications to managed CWS/CMS production resources, can be implemented in a logical and orderly fashion, while minimizing negative impact on the environment and maximizing the productivity of the users, customers, developers, testers, and support teams.

This process enables CWS/CMS management to assess the impact to production with a snapshot of current activities. This enhances the project's ability to make appropriate business decisions based on current and planned activities.

Change management encompasses any alteration to hardware, software, network, application, operational procedure, or environment that adds to, deletes from, or in any way modifies the CWS/CMS environment.

■ **Change Request Submission** – After going through an internal county change request evaluation process, all change requests are reviewed at a regional level to gauge statewide impact. If the change is approved at the regional level, the System Change Requests (SCRs) to the State Application Support unit. In addition, California Department of Social Services (CDSS), CWS/CMS State staff, and CWS/CMS vendor staff may submit SCRS. In 2004, 187 SCRs have been submitted thus far. These requests are reviewed at a bi-weekly Project Office Change Review (POCR) committee meeting, which acts as the Change Control Board for the CWS/CMS Project. Requests are entered into the Request Tracking System (RTS) by Application Support Staff. Reasons for making changes include:

- Add new function to support new CWS/CMS requirements or mandated policies
- Fix CWS/CMS known problems

- ❑ Growth
 - ❑ Performance tuning
 - ❑ Prevent problems
 - ❑ Technology refresh
- **Change Request Evaluation** – SCR are reviewed at the PO CR Meeting and are classified as Open-Assigned, Open-Pending, Closed as Completed, Closed as Duplicate, Closed – Not Approved/Contrary to CWS/CMS Policy or Closed – Not Approved/Issue Resolved. When determining the Release content for potential future Releases, the PO CR follows the Strategic Initiative Plan which is set by the Oversight Committee (OSC). When SCRs are approved, the proposed Release content is then designated for a future Release. The following table depicts the current status of all SCRs submitted in 2004.

Table 27 – 2004 System Change Requests

Status	Total
Open (Assigned and Pending)	137
Closed as Completed	14
Closed as Duplicate	18
Closed – Not Approved/Contrary to CWS/CMS Policy	12
Closed – Not Approved/Issue Resolved	6
Total	187

The SCR number and status assigned by PO CR are communicated back to the requestor. If the Request was rejected by the PO CR, the reason is also communicated back to the requestor. If necessary, the submitter contacts the CWS/CMS System Change Coordinator regarding the status of their submitted request.

- **Release Planning** – When an SCR is slated for a release, the Application Support Manager assigns an analyst to capture requirements and document the details of the SCR. All SCRs to be released are packaged and sent to IBM for their IT Analysis and Cost Estimates.
- **Release Review** – The Release Package is sent to CWS/CMS Executives for review and then is sent to DSS if it is approved. If DSS also approves the Release, the Release Package is reviewed by the Administration for Families and Children (ACF). If the ACF approves the release, they notify the State via an approval letter and this signals that work on the Release can begin.
- **Recent Releases** – The last major release was in December 2002 (Release 5.2) and the next major release is scheduled for February 2005 (Release 5.4). The ACF approved funding for Release 5.3 but at the non-SACWIS cost allocation rate, and as a result, the State did not pursue Release 5.3.

The following is a list of interim releases since September 2003:

- **Release 5.2.4** – Contained fixes for 6 Help Desk (DPU) Tickets and 2 testing issues (PTS) with the main focus on security within the Application; Placed into production on September 25, 2003

- **Release 5.2.5** – Contained fixes for 6 Help Desk (DPU) Tickets and a new version of *xTools*; Placed into production on November 13, 2003
- **Release 5.2.6** – Contained fixes for 22 Help Desk (DPU) Tickets and 1 internal testing issue (PTS); Placed into production on May 6, 2004
- **Release 5.2.7** – Contained fixes for 9 Help Desk Tickets (DPU) and 1 internal testing issue (PTS); Placed into production on June 24, 2004
- **Release 5.2.8** – Contains a fix for one Help Desk (DPU) Ticket. Placed into production on August 5, 2004
- **Release 5.2.9** – Contains a fix for two Help Desk (DPU) Tickets and one internal Problem Tracking System (PTS) item; Placed into production on September 16, 2004
- **Release 5.2.10** – Contains a fix for 11 Help Desk (DPU) Tickets and 4 internal Problem Tracking System (PTS) items; Placed into production on November 11, 2004

4.2.5.2.5 Capacity Management

Capacity management is the process of planning and controlling Information Technology (I/T) resources that will ensure the efficient use of existing I/T resources and identify the need for additional I/T resources necessary to meet service commitments. The following is an outline of the Capacity Management Process:

- Forecast user workloads
- Convert user workloads to transaction profiles and volumes
- Forecast resource requirements
- Gather resource/workload requirements
- Process resource/workload requirements
- Validate resource/workload requirements
- Determine/apply projection methodology
- Characterize and size workload
- Analyze trends
- Identify possible alternatives for capacity plan and supporting assumptions
- Analyze strategic impact
- Plan strategic workload balancing (minimize cost of providing sufficient resources)
- Review capacity alternatives with State of California CWS/CMS and the Project Office
- Finalize capacity plan and supporting assumptions
- Analyze/track plan vs. actual

The process results in:

- A capacity recommendation to resolve resource imbalance within the project
- Definition of required system resources for a new requirement

- System resource projections that have mutual agreement between State of California CWS/CMS, the Project Office, and capacity management

4.2.5.2.6 Performance Management

Performance management is the process of planning, defining, measuring, monitoring, analyzing, reporting, and tuning the performance of component resources to enable meeting response time, throughput, and delivery requirements in support of the CWS/CMS project as defined in the ISSC CWS/CMS Service Level Agreement. All of the processes and tools to perform Performance Management are in place and designed to optimized resources. The Performance Management process includes:

- Performance monitoring and analysis;
- Performance tuning, and balancing; and
- Performance communicating and reporting.

4.2.6 Key Technical Findings

The following key findings are related to the technical baseline. Findings were obtained through a variety of sources that include conducting interviews and workshops were conducted with key stakeholders. Information regarding the types of interviews conducted can be found in Appendix E.

- CWS/CMS Executives, Business Staff and Technical Staff.
- CDSS Executives and Staff.
- San Mateo County Staff.
- Los Angeles County Staff.
- Santa Clara County Staff.
- Colusa County Staff.
- Yolo County Staff.
- Sacramento County Staff.
- CWDA and County Representatives.

In addition to the interviews and workshops, the following documentation was reviewed:

- The California Statewide Automated Child Welfare Information System (SACWIS) Go-Forward Plan dated August 2004.
- The Statement of Work (SOW) for the Technical Architecture Alternatives Analysis (TAAA).
- The Technical Architecture Strategic Plan (TASP) published in April 2003.
- The As-Needed Advanced Planning Document Update (APDU) published in August 2004.
- The SACWIS Completion Feasibility Study Report (FSR) – Interfaces published in May 2003.
- CWS/CMS System Architecture Overview dated October 1999.
- CWS/CMS County Access to Data (CAD) Architecture dated April 2004.

- CWS/CMS Application Architecture dated June 2004.
- CWS/CMS Exchange Architecture dated May 2004.
- CWS/CMS Infrastructure Architecture dated July 2004.

The findings are as follows:

- **Modularity** – The system was originally designed using modularity principles of the time. Focus was on separation of graphical user interface (GUI), business rules, and data. IBM did a good job in achieving these objectives.
- **Reliability** – The system is highly reliable and uses the following methods to maintain uptime:
 - High degree of redundancy at all layers.
 - Application servers have multiple ways for connecting to backend host.
 - Applications/Desktops have logic for dealing with failed application server.
 - Backend – Sysplex.
 - Strong backup – third party tape management off-site.
 - Multiple communication access methods.
- **Documentation** – There is a significant amount of current documentation on the system architecture.
- **Helpdesk, Incident, and Problem Management** – Services provided by IBM are consistent with Information Technology Infrastructure Library (ITIL) and industry best practices. The process maturity levels of helpdesk, incident, and problem management are consistent with mature and advanced organizations.
- **Untimely System Updates** – CWS/CMS receives a variety of system change requests from federal, State, and county sources to perform modifications to CWS/CMS to meet legislative, regulatory, and programmatic needs. The following factors affect the deployment cycle:
 - The CWS/CMS release cycle – Once State and federal approval are received, the structured development life cycle is followed by CWS/CMS (i.e., design, program, test, train and release). This development life cycle currently takes a minimum of six months for a release.
 - The size, complexity, and tightly interwoven nature of the application results in an increase in application development time.
 - The effort to integrate existing Web-based services or commercial-off-the-shelf solutions into the system is more difficult.
 - The time-consuming effort the counties must go through to update their data marts and query mechanisms whenever a change is made to the CWS/CMS database schema.

All of these factors result in time-consuming development and, at times, legislation is in effect before the appropriate programmatic changes are updated in the application. For example, the Department of Justice (DOJ) releases updates to reports/forms approximately once a year. If CWS/CMS has not released the programmatic change to create the revised

DOJ reports, end-users must manually produce the forms until the change is implemented within the application.

- **“Optimistic Concurrency Problem”** – The system was not designed to allow concurrent update access to the same case data; the optimistic concurrency design causes occasional loss of data. Typically, there are manual activities to ensure that multiple users are not simultaneously accessing the same data.
- **System Usability** – The system is not designed to support the current way case workers do their business, that is:
 - The system is not designed to support and facilitate current child welfare work – it was designed to meet the needs of the time but business practices have since changed (i.e., legislation, policy, and approach).
 - There is minimal use of workflows and business process automation.
 - Minimal protection against data quality issues – minimal automatic checking for existing data.
 - According to county workers: “we can *make* the system work, but it should work for us”.
- **Portability** – Laptops are not usable from field or remote locations.
- **System Architecture** –
 - The current design was optimized to support the “fat” desktop client. Rather than following a modern model/view/control architecture where the presentation logic is separate from data (model) via a control layer, this architecture is much more tightly coupled. There is no formal “control” layer to act as an intermediary between the GUI layer and the data layer and notify it about changes to the data/views. Rather, the GUI layer incorporates this logic, which in essence results in a tight coupling between business rules, user interface logic, and data.
 - A second difference of the CWS/CMS architecture and current architectures is the view of business transactions. In a current architecture, each business processes is mapped to a series of transactions which are executed in parallel or sequentially as individual transactions. In the CWS/CMS architecture view, a transaction may encompass many business processes.
 - Support for alternative devices is limited under the current architecture.
 - No clear separation exists between business and user interface logic on the desktop.
 - The current “Open Case” design (bringing all case data down to the desktop) does not work in a portable or alternative device environment.
 - The current software distribution mechanism cannot effectively be used to support laptops over lower speed communication lines.
- **Systems Integration** – CWS/CMS does not have a formally defined and operational integration architecture. Previous efforts by the project to provide a general-purpose integration architecture or application programming interface (API) were rejected by county technical personnel as too difficult to work with.
- **System Security** – Counties require more granular access control roles and some counties have more stringent security needs particularly related to system login and password policies.

- **Reporting** – Reporting requirements within CWS/CMS are satisfied by several methods. Specific user community needs are addressed through different sets of tools and data access paths and repositories. There are four basic categories of reporting in CWS/CMS: standard Program Management reports (PM), ad hoc reporting run against the CAD data warehouse, quality assurance and regulatory compliance reporting services from Safe Measures®, and ad hoc reporting run against the production database via Statistical Analysis System (SAS) software.
 - Not all reporting tools are within CWS/CMS and critical ones are external (i.e., CAD and Safe Measures®.)
 - The limited number of purchased licenses restricts current access to data.
- **Documentation** – There is a lack of complete documentation of the system.

4.3 Financial Baseline Analysis

This section details the financial baseline information for costs and benefits associated with the current CWS/CMS, highlighting cost trends for the past three complete fiscal years (FFY 2001 through FFY 2003). Where applicable, Child Welfare Services (CWS) program costs that may be affected by any implemented alternative are discussed. Specifically, this section addresses:

- State of California Welfare Services Program Funding
- State of California Welfare Services Program Costs
- CWS/CMS Costs and Benefits
- Key Financial Findings

4.3.1 State of California Welfare Services Program Funding

The primary sources of federal funding for Child Welfare Services are authorized in Title IV and Title XIX of the Social Security Act. These funds are passed through to the states, and in California they are further distributed to the counties. Over 80 percent of California's foster children are eligible for and receive partial funding from the federal government for board and care and medical costs, with the balance covered by state and county funds. Foster children who are not eligible for federal funds are supported by state, county, and private funds. The following is a description of each major funding source as described in the "Understanding the Child Welfare System in California" primer:

- **Title IV-E** – Title IV-E is a major funding source for foster children who have been placed in out-of-home care. This funding source was established as an uncapped (unlimited) entitlement, which means that the federal government is obligated to make payments to any person that meets the eligibility criteria established by law. The funds provide half of the monies for allowable board, care, and related administration for children in foster care who meet eligibility requirements of the former Aid to Families with Dependent Children (AFDC) program. This program ended on July 16, 1996, with the enactment of welfare reform; and the eligibility criteria have not been means-tested or revised since that date. The remaining 50 percent must be matched (or paid) by the state at 20 percent and the county at 30 percent. If a child is not eligible for federal AFDC funds, the state pays 40 percent and the county pays 60 percent. Because eligibility requirements are frozen in time and not adjusted for cost-of-living increases, the number of children who are eligible for Title IV-E funds is diminishing. Together with the required state and county matching funds, Title IV-E covers a variety of out-of-home costs, including state and local child welfare staff training, case management associated with placing children in foster care, and out-of-home care maintenance payments. Funding is also provided for the adoption of children with special needs and support for youths who transition from out-of-home care into independent living.
- **Title IV-B** – Title IV-B is a capped (limited) allocation to each state to use for a wide range of services to preserve or support families, reunify children, or promote and support adoptions. The Child Welfare Services program (subpart 1 of Title IV-B) funds preventive intervention, alternative placements, and reunification services. The Promoting Safe and Stable Families program provides funds to states for family support, family preservation, time-limited family reunification services, services to promote and support adoptions, and grants through the

Court Improvement Program to help state courts improve the way they handle proceedings relating to foster care and adoption.

- **Title XIX** – Title XIX provides partial coverage to foster children for health, mental health, developmental disability, and substance abuse treatment, as well as health-related social services through the federal Medicaid program (known as Medi-Cal in California).
- **TANF** – The Temporary Assistance for Needy Families (TANF) Block Grant provides some additional funding for child welfare services. California uses TANF funds in a number of ways:
 - To provide CalWORKs cash assistance to relatives caring for children who do not meet federal eligibility criteria, as well as for families in Kin-GAP;
 - To continue to provide assistance payments to CalWORKs recipients whose child welfare case plan goals are reunification with the family;
 - For the Emergency Assistance (EA) Program, which includes funding for children who do not meet federal eligibility requirements for AFDC-Foster Care, but who do meet the EA single episode criteria;
 - For initial Emergency Response activities; and
 - For counties that choose to use unexpended TANF performance incentive funds for Child Welfare Services within TANF regulations.

Federal funds are provided to state agencies through a complex application and approval process and provide funding for a variety of services. Counties must then work through numerous state agencies to obtain funds for various programs.

- CDSS provides funds for Family Reunification, Family Maintenance, adoption, foster care, and child abuse prevention services.
- The California Department of Health Services provides Medi-Cal coverage for foster children.
- The Governor's Office of Criminal Justice Planning is a clearinghouse for abuse prevention and children's services grants.
- Special education funds pass through the California Department of Education.
- The California Departments of Mental Health, Rehabilitation, Developmental Disabilities.
- Alcohol and Drug Programs also fund services through local and regional agencies.

4.3.2 State of California Welfare Services Program Costs

Since 1998, the CWS/CMS has been viewed by the State and ACF as an "operational" system. However, the SACWIS Assessment Review is still open, pending completion of SACWIS functions required to close out the assessment. Until the SACWIS Assessment Review is complete, the State will continue to incur both one-time development and ongoing maintenance and operations (M&O) costs to complete the SACWIS. To accurately allocate and report costs to ACF on all new development and ongoing maintenance, the State must use multiple Cost Allocation Plans (CAP) to reflect appropriate program funding at the State and county levels. The following two sections describe the cost allocation methodology for allocating and reporting program funds at the State and county levels.

4.3.2.1 State Program Costs

At the State level, multiple agencies incur CWS/CMS operational costs. The State's budget for CWS/CMS includes costs for State, county, vendor, and contracted staff specifically assigned to CWS/CMS activities and all hardware, software, and interfaces that comprise the CWS/CMS solution. CDSS and HHSDC maintain separate cost allocation plans that describe how to identify and reflect costs associated with program activities in support of the SACWIS project and how to correctly bill project costs to CDSS. HHSDC's federally approved central service cost allocation plan addresses the rate development methodology for billing data processing services and addresses the methodology for billing CDSS for non-SACWIS (i.e., electronic data processing) project costs implemented and maintained by HHSDC. Both cost allocation plans are consistent with the federal requirements contained at Office of Management and Budget (OMB) Circular A-87 for public assistance cost allocation plans. HHSDC's cost allocation plan also meets the federal requirements contained at Office of Management and Budget (OMB) Circular A-87 for central service. Although the State is engaged in many activities and shares the costs of specific CWS programs administered at the county level, for the TAAA, only costs and funding associated with SACWIS and non-SACWIS activities will be considered. The following are the costs and methodology for allocating costs associated with 1) SACWIS and 2) non-SACWIS activities, as defined in the 2004 Annual APDU:

■ **SACWIS** – This program funding area includes costs related to:

- ❑ A single statewide automated system consisting of hardware, software, and hardware that interfaces with SACWIS systems; and
- ❑ Personnel directly associated with the functioning of the statewide system.

For costs to be considered eligible in this category the statewide system must meet the requirements imposed by Federal regulations and be capable of interfacing with another system to perform required functions (i.e., collecting information relating to child abuse and neglect). To the extent practicable, the system must be capable of 1) interfacing with and retrieving information from the State data collection system that collects information relating to the eligibility of individuals under Title IV-A and 2) providing efficient, economical, and effective administration of the programs carried out under a State's plan approved under Title IV-B or IV-E of the Social Security Act. Costs in this program funding area are shared based on the following ratios (ratios indicate sharing of federal/State funds):

- ❑ **State Only (0/100)** – Represents budget/expenditures for which Federal Financial Participation (FFP) was not available, but the item is categorized as SACWIS.
- ❑ **Title IV-E (50/50)** – Represents allowable Title IV-E SACWIS categorization.
- ❑ **TANF Emergency Assistance (EA) (100/0)** – Represents SACWIS budget/expenditures that are allocated to TANF.

Beyond the federal and State funding ratios described above, portions of costs for specific line items related to Title IV-E and TANF funding ratios are reimbursed at rates agreed upon at the State level. These are illustrated in the following table.

Table 28 – State-Level Local Assistance Budget – SACWIS Cost Allocation

CWS/CMS Cost Allocation (SACWIS)			
State-Level Local Assistance Budget		Programs	Funding Ratios *F/G/HR/CR
IBM/Vendor			
WAN	93.00%	IV-E	50/50/0/0
OTHER M & O	100.00%	IV-E	50/50/0/0
State Staff	83.80%	IV-E	50/50/0/0
WAN (HHSDC)			
Foster Care	74.43%	IV-E	50/50/0/0
CalWORKs	14.07%	TANF	100/0/0/0

*Funding Ratios: F = Federal, G = General, HR = Health Reimbursable, CR = County Reimbursable

Although agreement on full compliance with SACWIS requirements continue to be negotiated between California and the Administration for Children and Families (ACF), the Child Welfare Services/Case Management System (CWS/CMS) meets the federal definition for receiving SACWIS funding and has received such funding since October 1, 1993. It is important to note that the funding was reduced in July 2003 from the full SACWIS funding level to the discounted funding level because of ACF's determination that California was not fully compliant with federal SACWIS regulations. The conditional approval of the Go-Forward Plan by ACF in August 2004 fully restored the SACWIS funding.

- **Non-SACWIS** – This program funding area includes hardware, software, interface, and personnel costs related to Electronic Data Processing (EDP) systems that are developed to enhance program performance and interface with other system(s), but are not a requirement for the functioning of a SACWIS system. Non-SACWIS systems are not defined, implemented, and/or available statewide. Costs in this program funding area are shared based on the following ratios (ratios indicate sharing of federal/State funds):
 - ❑ **State Only (0/100)** – Represents budget/expenditures that are allocated to State-only programs.
 - ❑ **Foster Care Title IV-E (caseload-based ratio)** – Represents budget/expenditures allocated to the State-only and Title IV-E Foster Care Programs, based on statewide caseload statistics per the approved CAP.
 - ❑ **Training Title IV-E (75/25)** – Represents budget/expenditures that are enhanced non-SACWIS Title IV-E associated with CWS/CMS training, as documented in California's approved Title IV-B State Plan. These costs are allocated to the State-only and enhanced Title IV-E training components based on statewide Foster Care caseload statistics.

Beyond the federal and State funding ratios described above, portions of costs for specific line items related to Title IV-E and State Foster Care (FC) funding ratios are reimbursed at rates agreed upon at the State level. These are illustrated in the following table.

Table 29 – State-Level Local Assistance Budget – Non-SACWIS Cost Allocation

CWS/CMS Cost Allocation (Non-SACWIS)				
State-Level Local Assistance Budget		Programs		Funding Ratios *F/G/HR/CR
IBM/Vendor Network Services	7.0%	State FC	23.6%	0/100/0/0
		IV-E	76.4%	50/50/0/0
State Staff	16.2%	State FC	23.6%	0/100/0/0
		IV-E	76.4%	50/50/0/0
WAN (HHSDC)	11.5%	State FC	23.6%	0/100/0/0
		IV-E	76.4%	50/50/0/0

*Funding Ratios: F = Federal, G = General, HR = Health Reimbursable, CR = County Reimbursable

The following is a breakout of the budgeted FFY 2004/05 costs related to SACWIS and non-SACWIS activities based on these methodologies.

Table 30 – Budgeted CWS/CMS M&O Cost Allocation of SACWIS and Non-SACWIS Funds for FFY 2004

		Funding Ratio: Federal/State						Unallocated
		Non-SACWIS			SACWIS			
		State Only 0/100	Foster Care Title IV-E*	Training Title IV-E (75/25)	State Only Programs 0/100	Foster Care Title IV-E 50/50	TANF EA 100/0	
State Goods and Services								
HHSDC Project Staff								
Salary & Benefits	3,507,312		16.20%			83.80%		
Operating Expenses	896,202		16.20%			83.80%		
Travel	178,813		16.20%			83.80%		
Total	4,582,326							
HHSDC Project Staff - Statewide Training								
Salary & Benefits***	150,653			100.00%				
Operating Expenses***	31,511			100.00%				
Travel***	1,790			100.00%				
Total***	183,954							
CDSS Staff** *	1,701,568							
County Staff Consult. Contracts	532,800					100.0%		
DGS Fees	144,119					100.0%		
HHSDC WAN Services	6,151,615		11.50%			74.46%	14.04%	
HHSDC Admin Overhead	761,013		16.20%			83.80%		
HHSDC Admin Overhead-Statewide Training***	26,618		16.20%			83.80%		
Total State	12,171,873		1,573,057			9,735,129	863,687	
County Goods and Services								
Local User M&O								
System Support Staff	25,256,250					100.00%		
Moves & Changes****	1,114,874							100.00%
Local Network Costs	464,193					100.00%		
Hardware/Software	14,991,444					100.00%		
Total	41,826,761							
Depreciated Equipment								
County Servers-SACWIS (From Schedule)	204,376		6.57%			93.43%		
County Servers-Non-SACWIS (From Schedule)	479,139		100.00%					
Total	683,515							
Total County	42,510,276		492,567			40,902,835		1,114,874
Vendor Goods and Services								
Basic M&O Services								
Network Services (for Cost Allocation)	6,737,740		7.00%			93.00%		
Other Basic M&O Services	48,441,743					100.00%		
Host CPU Upgrades	1,084,000					100.00%		
Total	56,263,482							
Additional User M&O								
Dial-in	192,083					100.00%		

CWS/CMS Baseline Analysis

		Funding Ratio: Federal/State						Unallocated
		Non-SACWIS			SACWIS			
		State Only 0/100	Foster Care Title IV-E*	Training Title IV-E (75/25)	State Only Programs 0/100	Foster Care Title IV-E 50/50	TANF EA 100/0	
Total	192,083							
System Changes								
CPU Reduction Release	432,983					100.00%		
Release 5.4	2,315,136					100.00%		
Total	2,748,119							
Technical Infrastructure								
Depreciation - Mail Servers (WA9814)	29,650		100.00%					
Depreciation - W2k Servers (WA0005B)	251,120					100.00%		
Total	280,770							
Total Vendor	59,484,454		501,292			58,983,162		
Contracted Goods and Services								
Project Management Support								
QA V&V	1,670,656					100.00%		
Total	1,670,656							
Acquisition Support								
RFP Office Consultant Support	1,137,991					100.00%		
Total	1,137,991							
Technical Support								
System Architect	23,125					100.00%		
Workstation Replacement/OS Upgrade Combined Procurement	9,404,072	0.05%	9.35%			90.60%		
Laptop Replacement	136,388	0.05%	9.35%			90.60%		
Printer Replacement	136,005	0.05%	9.35%			90.60%		
Classroom Training***	1,130,571			100.00%				
Training Region***	174,750			100.00%				
Total	9,699,589							
Total Contract	12,508,236	4,838	904,749			11,598,648		
Total On-going	126,674,839	4,838	3,471,665	0	0	121,219,775	863,687	1,114,874
Project Total	126,674,839	4,838	3,471,665	0	0	121,219,775	863,687	1,114,874

*Based on current statistics, 76.4% of the cases in our CWS/CMS are Title IV-E (Foster Care) eligible, with a 50/50 funding share. The remaining 23.6% of cases represents the State Foster Care Program, and are therefore State only funded.

**Based on current statistics, 76.4% of the cases in our CWS/CMS are Title IV-E (Foster Care) eligible, with a 75/25 funding share for training costs. The remaining 23.6% of cases represents the State Foster Care Program, and are therefore State only fun

***For information only. Not included in the Total amount.

****To be allocated based on county APDs.

4.3.2.2 County Program Costs

CDSS maintains the federally approved public assistance cost allocation plans for county-level costs, which describes the methodology the counties are required to follow for claiming all costs incurred by the county. The county cost allocation plans are consistent with the federal requirements contained at Office of Management and Budget (OMB) Circular A-87 for public assistance cost allocation plans.

Each cost allocation plan is affected differently based on the whether county activities are associated with information technology (SACWIS or non-SACWIS) or the performing of child welfare services through specific program administration. This section will only describe costs that will be used in comparing alternatives and therefore will not include program costs (i.e., Emergency Assistance) that will not be affected by any alternative implemented. The costs that will be included are 1) the SACWIS and non-SACWIS Program Costs and 2) program costs for business processes (i.e., adoptions assistance) that have been identified as potentially being changed via implementing any of the selected alternatives. These are described as follows:

- **SACWIS and Non-SACWIS Program Costs** – For counties to request approval and subsequently claim and allocate costs against CWS/CMS budget, counties must (in accordance with the federal guidelines) categorize all CWS/CMS costs as either SACWIS or non-SACWIS and determine whether the costs benefit programs outside of Title IV-E or IV-B State Plans for cost allocation purposes. The funding allocations for reimbursement are consistent with the cost allocation described above (Section 4.3.2.1) and as explained in County Fiscal Letter (CFL) No. 04/05-13 (dated August 30, 2004), CFL No. 04/05-30 (dated October 18, 2004), and CFL No. 04/05-32 (dated December 6, 2004):
 - **CWS/Case Management System (CMS) System Support Staff (SSS)** – This program category shares costs based on a ratio of 50% federal funding, 35% state funding, and 15% county funding. For SFY 2004/05, the CWS/CMS SSS cost was calculated by applying the 1:50 staff to User IDs/workstation ratio to the total number of justified/approved User IDs/workstations in each individual county to determine the number of FTEs by county. These FTEs were funded at each county's individual electronic data processing/administrative salary. The CWS/CMS SSS funding was used for county staff and contract support staff costs associated with county help desk functions dedicated to the support of CWS/CMS equipment and applications, including technical support and assisting with moves and changes. Costs for CWS/CMS SSS were reported to PC 536, SACWIS – M&O.
 - **CWS/CMS Staff Development** – This program category shares costs based on first applying the IV-E discount of 23.6% and then applying the 75% federal and 25% State sharing to the remaining 76.4%. For SFY 2004/05, the appropriation for CWS/CMS Staff Development was \$7 million, \$5.3 million of which was allocated to all counties. This included funding for new hires, intermediate/advanced training, management/supervisory training, SSS training, and database training. The remaining \$1.7 million was designed to be used for the statewide county contracted services training. The allocation (excluding the Northern Training Lab Consortium (NTLC) and remaining small counties) was calculated by multiplying each county's percentage to the statewide total of the number of User IDs in each county as of June 2004. The allocation for NTLC counties and remaining small counties was based on a hold harmless amount from the

SFY 2001/02 Appropriation. The costs for social worker and clerical staff development were to be claimed as a direct charge and applied against the CWS basic allocation.

The following table provides a high-level view of the budgeted county SACWIS and non-SACWIS program costs for SFY 2004/05. The SACWIS and Non-SACWIS costs are included in the federal budgets at the State level.

Table 31 – Budgeted CWS/CMS Program Costs for SFY 2004/05

Budgeted County SACWIS/Non-SACWIS Program Costs SFY 2004/05				
	Federal Share	State Share	County Share	Total
CWS/CMS SSS	12,515,000	8,760,000	3,754,000	25,029,000
CWS/CMS Staff Develop	2,960,000	1,608,000	695,000	5,263,000
Total	15,475,000	10,368,000	4,449,000	30,292,000

- **Affected CWS Business Program Costs** – While these business program costs will not be included in the development or maintenance costs for the CWS/CMS, implementation of specific alternatives may result in savings in these areas. Therefore, the base program costs for each of the potentially affected program areas have been included here. As shown in the table below, current cost sharing occurs at 50% federal, 35% State, and 15% county.

Table 32 – Actual CMS Program Costs of Potentially Affected Programs for SFY 2003/04

Actual County CWS Program Costs (Potentially Affected Programs) SFY 2003/04				
	Federal Share	State Share	County Share	Total
Adoptions Assistance	39,390,914	27,573,640	11,817,274	78,781,828
Automated Title IV-E Eligibility Determination	628,475,218	439,932,652	188,542,565	1,256,950,435
Total	667,866,132	467,506,292	200,359,839	1,335,732,263

4.3.3 CWS/CMS Costs and Benefits

This section describes the one-time development and ongoing maintenance and operations costs associated with the CWS/CMS. Before delving into the detailed budgets and their included costs for CWS/CMS, it is useful to understand the way in which the budgets are formatted and the costs are categorized. In general, CWS/CMS budgets thus far have been categorized according to the provider of goods and services necessary to develop and maintain the CWS/CMS. Because the budgets have been categorized in this way, the similar line items (e.g., workstations) may appear under multiple budget categories. This is because the development or provision of this good or service may be split among multiple sources or providers. The providers of goods and services, and thus the budget categories, are:

- **State Goods and Services** – This category consists of costs for:
 - **HHSDC M&O Project Staff** – These costs includes the salaries, operating expenses, and travel for executive administration, RFP office, administration, application delivery,

operations, customer relations, statewide training, application design and testing, and SID staff.

- ❑ **CDSS Staff** – Prior to July 1995, CDSS served as the project sponsor and project staff. After 1999, CDSS remained the project sponsor of CWS/CMS, but the project staff changed to HHSDC with the transition of the project control. Current CDSS staff costs include salaries, operating expenses, and travel for CDSS staff to provide oversight of the program policy implementation, support, and guidance; core administrative business function (i.e., contract and agreement management); and computer application help desk for the Children and Family Services Division.
- ❑ **County Staff Consultant Contracts** – The CWS/CMS Project enters into agreements for counties to loan county staff that can provide input on a daily basis. These agreements are typically two years in duration and at any point in time there may be two to six county staff working at the Project Office. Costs include salaries and travel for county staff consultants participating in the development of functional requirements related to system changes, testing of application changes prior to implementation, and the review of all training curricula and training tools specific to the CWS/CMS application.
- ❑ **DGS Fee** – The Department of General Services (DGS) assesses a fee of 2.56% on all purchases and contracts it processes. The total budgeted amount for the DGS Fees reflects costs for the RFP Office, DGS Analyst/Consulting fee, and other charges for processing procurements through the California Multiple Award Schedule (CMAS) system.
- ❑ **HHSDC Administrative Overhead** – These costs include departmental services not directly associated with a specific program or service (e.g., accounting, personnel, procurement, and billing services). The percentage of overhead and the methodology used to apply overhead are in accordance with HHSDC's approved cost allocation plan.
- ❑ **HHSDC WAN Services** – These costs include network operations, network installation for new sites and relocation of existing sites, and technical support of the network.
- **County Goods and Services** – The County Goods and Services cost category is comprised of expenditures for merit staff, local contract services, conversion support, implementation support, local networks, hardware/equipment (i.e., servers, PCs laptops, printers) and software required to develop and/or support CWS/CMS. Costs in this category are only attributable to SACWIS M&O (not Title IV-E program administrative expenses) and reported as a county expense via the CDSS claiming system. Any costs that are not declared through the claiming system are not reimbursed from the State budget.
- **Vendor Goods and Services** – This category consists of costs for:
 - ❑ **Basic M&O** – The Basic M&O services charge in the current vendor contract provides for corrective changes to the CWS/CMS application. However, the Basic M&O services charge does not cover adaptive changes or perfective changes to improve performance, usability, or maintainability. Basic M&O services include costs for the project office (i.e., project office labor, facilities/supplies, and hardware/software), application maintenance (i.e., application maintenance labor, test labor, application maintenance hardware/software/tools), network services (i.e., server management labor, network services labor, infrastructure), managed operations (i.e., host services, system security, database management, DASD upgrades), and end user support (i.e., customer support center labor/infrastructure, hardware/software/maintenance, technical services).

- ❑ **Additional User M&O** – This cost category is comprised of:
 - *Additional Resource Charges (ARC)* – These costs include those associated with above baseline resource usage and were funded based upon actual invoices submitted to ACF for approval. ARC costs include above baseline CPU hours, quantity of coexistent county user IDs or workstations, and disk storage. While the budget for ARCs was established within various APDUs, FFP for these amounts were subject to ACF review and approval based upon the actual invoice amounts. Contract Amendment 20 with IBM Global Services eliminated costs for ARC components, and the costs were no longer separately accounted for in the budget beginning August 2003.
 - *Dial-In Costs* – These costs represent incremental costs for remote telephone access to the CWS/CMS application. Although the line items for ARC components were removed from the budget, costs for Dial-In will continue to be displayed.
- ❑ **System Changes** – The current prime vendor contract includes \$10.5 million annually for system changes. System change activities include change evaluation, analysis, design, development, testing, and implementation. Integral project activities such as configuration management and software distribution are included in the Basic M&O services component of the contract. System Changes include those necessary to respond to new legislation, regulation, or business practices that do not constitute enhancements.
- ❑ **Technical Infrastructure** – This category includes costs to upgrade and replace technical infrastructure components (i.e., hardware, software, network components) necessary to provide social workers with a consistently reliable tool to document the results of child abuse investigations; critical child, family, and provider data; and program services.
- **Contracted Goods and Services** – This category represents the contracted goods and services necessary to support the CWS/CMS. These contracted goods and services are those that are not contracted to the primary maintenance and operations vendor (IBM Global Services). The State normally performs all activities necessary to support CWS/CMS. When necessary, the State utilizes contracted services in response to increased workloads (on an as-needed basis), larger level of effort necessary to complete services, need for specialized skills, or unanticipated activities. Historically, the contracted goods and services budget has been spent on procurement, M&O support, quality assurance, training, business process improvement and standardization, student assistant, independent expert architecture review, strategic planning, web administration and development, and security audit services.

It is also useful to understand that within each category of costs, the cost items change from the development time period to the maintenance time period based on the change in the nature of the product as it moves from the completion of the system to its ongoing upkeep and operation. The most notable of the changes are:

- **County Goods and Services** – Conversion and implementation activities conducted by county staff are considered one-time development costs only. Local M&O staff (ongoing local support of equipment and staff) and depreciation costs for county equipment purchased as part of technical refresh during M&O are considered M&O only costs.

- **Vendor Goods and Services** – Vendor services change from one of leading the development of the system to supporting and working under the direction of the State during M&O. The cost line items in this category reflect the type of service changes between the development and maintenance.

The following describes the one-time development costs and the ongoing maintenance costs to date for CWS/CMS.

4.3.3.1 Original One-Time Development Costs

The CWS/CMS entered into maintenance and operations in 1998 and is viewed by the State and ACF as an “operational” system. However, the SACWIS Assessment review is still open, pending completion of SACWIS functions required to close out the assessment. The Department of Finance Office of Information Technology (DOF/OIT) approved the initial Feasibility Study Report (FSR) for the development of the Child Welfare Services/Case Management System (CWS/CMS) on December 15, 1989. The planning and procurement effort began immediately after the FSR approval and resulted in a contract award to IBM Global Services in January 1992. As the primary vendor, IBM was charged with developing a CWS/CMS capable of:

- Providing CWS workers with immediate access to child and family specific information to make appropriate and expeditious case decisions;
- Providing CWS workers with the case management information needed to effectively and efficiently manage their caseloads and take appropriate and timely case management actions;
- Providing state and county CWS management with the information needed to monitor and evaluate the accomplishment of CWS tasks and goals; and
- Providing all CWS agencies with a common database and definition of information from which to evaluate the CWS programs.

The following table illustrates the actual one-time development costs associated with the planning, procurement, development, and implementation of the CWS/CMS system. It is important to note that although system development ended in 1998, the depreciation expenditures for equipment costing over \$5,000 per unit extend through FFY 2001. Because the costs are for equipment purchased during the development period, they are considered part of (and have been included in) the one-time costs.

Table 33 – Original One-Time Development Costs for CWS/CMS

Actual Expenditures Summary One-Time Costs to Develop Original CWS/CMS												
	FFY 1990-93*	FFY 1994	FFY 1995	FFY 1996	FFY 1997	FFY 1998	FFY 1999	FFY 2000	FFY 2001	FFY 2002	FFY 2003	Total
State Goods and Services												
HHSDC Project Staff	\$ 3,847,187	\$ 2,121,587	\$ 1,685,436	\$ 2,024,604	\$ 2,423,765	\$ 561,162	\$ -	\$ -	\$ -	\$ 64,021	\$ 221,074	\$ 12,948,836
County Staff Consultant Contracts	\$ -	\$ 305,054	\$ 395,288	\$ 848,886	\$ 1,595,292	\$ 261,134	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 3,405,654
CDSS Staffing Costs	\$ -	\$ -	\$ 20,604	\$ 204,485	\$ 205,935	\$ 41,250	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 472,274
HHSDC WAN Services	\$ -	\$ -	\$ 4,513	\$ 136,676	\$ 33,192	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 174,381
HHSDC Admin Overhead	\$ -	\$ -	\$ 55,856	\$ 437,582	\$ 630,100	\$ 136,321	\$ -	\$ -	\$ -	\$ 9,264	\$ 31,989	\$ 1,301,112
Subtotal	\$ 3,847,187	\$ 2,426,641	\$ 2,161,697	\$ 3,652,233	\$ 4,888,284	\$ 999,867	\$ -	\$ -	\$ -	\$ 73,285	\$ 253,062	\$ 18,302,256
County Goods and Services												
County Conversion	\$ -	\$ -	\$ -	\$ 13,550	\$ 2,354,454	\$ 1,238,221	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 3,606,225
County SACWIS Implementation	\$ -	\$ -	\$ -	\$ 21,277,072	\$ 14,650,710	\$ 2,076,118	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 38,003,900
Subtotal	\$ -	\$ -	\$ -	\$ 21,290,622	\$ 17,005,164	\$ 3,314,339	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 41,610,125
Vendor Goods and Services												
Development Contract	\$ 4,839,416	\$ 977,914	\$ 6,000,000	\$ 64,314,942	\$ 5,180,215	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 81,312,487
Enhancements	\$ -	\$ -	\$ -	\$ -	\$ 2,108,992	\$ 3,590,591	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 5,699,583
Unanticipated	\$ -	\$ -	\$ -	\$ 223,310	\$ 641,782	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 865,092
Depreciation	\$ -	\$ -	\$ -	\$ 191,493	\$ 255,324	\$ -	\$ 63,831	\$ 63,831	\$ 63,832	\$ -	\$ -	\$ 893,635
Subtotal	\$ 4,839,416	\$ 977,914	\$ 6,000,000	\$ 64,729,745	\$ 8,186,313	\$ 3,845,915	\$ 63,831	\$ 63,831	\$ 63,832	\$ -	\$ -	\$ 88,770,797
Contracted Goods and Services												
Project Management Support	\$ -	\$ -	\$ -	\$ 133,812	\$ 1,306,697	\$ 234,812	\$ -	\$ -	\$ -	\$ -	\$ 108,993	\$ 1,784,314
Acquisition Support	\$ -	\$ -	\$ -	\$ -	\$ 2,035	\$ 679	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,714
Technical Support	\$ -	\$ -	\$ -	\$ 287,680	\$ 436,620	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 724,300
New Development	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Subtotal	\$ -	\$ -	\$ -	\$ 421,492	\$ 1,745,352	\$ 235,491	\$ -	\$ -	\$ -	\$ -	\$ 108,993	\$ 2,511,328
Total One-Time	\$ 8,686,603	\$ 3,404,555	\$ 8,161,697	\$ 90,094,092	\$ 31,825,113	\$ 8,395,612	\$ 63,831	\$ 63,831	\$ 63,832	\$ 73,285	\$ 362,056	\$ 151,194,507

*Costs for planning and procurement of development/implementation vendor

4.3.3.2 On-Going Maintenance and Operations Costs

Maintenance and Operations (M&O) changes began in 1996, prior to the completion of system development, with wide area network charges and local M&O charges to assist with the office automation rollout. The ongoing M&O costs shown below are the actual costs incurred to-date to:

- Maintain and update the current custom CWS/CMS application to ensure it continues to support the CWS program;
- Maintain the CWS/CMS application to remain current with legislative and regulatory mandates;
- Operate the CWS/CMS in all counties and CDSS at the service levels defined in the contract; and
- Maintain the required level of service to users by assuring the hardware and software infrastructure is technically sufficient to support the required case management documentation required of the CWS program.

It is important to note that FFY 2004 is a partial year and reflects only nine months of the total 12-month period.

Table 34 – On-Going M&O Costs for CWS/CMS

Actual Expenditures Summary FFY 2001 - 2004 On-Going Costs to Maintain CWS/CMS										
	FFY 1996	FFY 1997	FFY 1998	FFY 1999	FFY 2000	FFY 2001	FFY 2002	FFY 2003	FFY 2004*	Total
State Goods and Services										
HHSDC Project Staff	\$ -	\$ -	\$ 1,754,968	\$ 2,089,208	\$ 2,686,136	\$ 3,416,310	\$ 3,795,606	\$ 4,790,024	\$ 4,027,976	\$ 22,560,227
County Staff Consultant Contracts	\$ -	\$ -	\$ 937,175	\$ 1,167,767	\$ 1,516,266	\$ 272,613	\$ 361,058	\$ 342,065	\$ 216,972	\$ 4,813,915
CDSS Project Staff	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,868,987	\$ 1,797,926	\$ 3,390,880	\$ 7,013,929	\$ 15,071,722
HHSDC WAN Services	\$ 1,076,380	\$ 2,414,245	\$ 3,775,955	\$ 3,645,977	\$ 5,108,398	\$ 4,227,861	\$ 4,175,290	\$ 3,703,551	\$ 2,262,802	\$ 30,390,458
DGS Fee	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 219,005	\$ 32,235	\$ 105,321	\$ 241,452	\$ 598,014
HHSDC Admin Overhead	\$ -	\$ -	\$ 440,861	\$ 593,696	\$ 980,726	\$ 494,581	\$ 597,601	\$ 671,234	\$ 630,997	\$ 4,409,696
Subtotal	\$ 1,076,380	\$ 2,414,245	\$ 6,908,959	\$ 7,496,648	\$ 10,291,526	\$ 11,499,356	\$ 10,759,716	\$ 13,003,075	\$ 7,380,199	\$ 77,844,033
County Goods and Services										
Local User M&O	\$ 88,510	\$ 993,597	\$ 7,195,940	\$ 14,984,787	\$ 10,688,244	\$ 10,558,614	\$ 12,759,715	\$ 9,846,029	\$ 8,912,997	\$ 76,028,433
Depreciation	\$ -	\$ -	\$ -	\$ 25,932	\$ 115,874	\$ 491,141	\$ 679,399	\$ 750,058	\$ 537,997	\$ 2,600,400
Subtotal	\$ 88,510	\$ 993,597	\$ 7,195,940	\$ 15,010,719	\$ 10,804,118	\$ 11,049,755	\$ 13,439,114	\$ 10,596,087	\$ 9,450,994	\$ 78,628,833
Vendor Goods and Services										
Basic M&O Services	\$ -	\$ 1,440,000	\$ 7,610,000	\$ 28,562,864	\$ 40,797,148	\$ 54,840,000	\$ 55,160,000	\$ 56,493,334	\$ 41,970,003	\$ 286,873,349
Additional User M&O (ARCs)	\$ -	\$ 2,095,145	\$ 11,192,241	\$ 9,247,361	\$ 8,286,546	\$ 6,727,105	\$ 10,752,440	\$ 9,439,758	\$ 79,725	\$ 57,820,321
System Changes	\$ -	\$ 2,756,458	\$ 6,714,111	\$ 5,597,418	\$ 6,250,000	\$ 9,757,443	\$ 2,458,293	\$ 8,513,494	\$ -	\$ 42,047,216
Technical Infrastructure	\$ -	\$ 2,000,000	\$ 14,472,143	\$ 8,999,999	\$ -	\$ 114,659	\$ 5,853,378	\$ 323,721	\$ 234,320	\$ 31,998,220
Subtotal	\$ -	\$ 8,291,603	\$ 39,988,495	\$ 52,407,642	\$ 55,333,694	\$ 71,439,207	\$ 74,224,111	\$ 74,770,306	\$ 42,284,048	\$ 418,739,106
Contracted Goods and Services										
Project Management Support	\$ -	\$ -	\$ 638,885	\$ 683,162	\$ 746,484	\$ 1,464,465	\$ 1,284,819	\$ 1,601,965	\$ 1,199,919	\$ 7,619,699
Acquisition Support	\$ -	\$ 316,338	\$ 651,680	\$ 963,205	\$ 969,599	\$ 773,618	\$ 727,987	\$ 389,155	\$ 717,726	\$ 5,509,309
Technical Support	\$ -	\$ -	\$ 218,578	\$ 505,958	\$ 380,903	\$ 2,334,640	\$ 3,228,468	\$ 8,078,376	\$ 7,900,355	\$ 22,647,278
Subtotal	\$ -	\$ 316,338	\$ 1,509,142	\$ 2,152,325	\$ 2,096,986	\$ 4,572,723	\$ 5,241,274	\$ 10,069,496	\$ 9,818,001	\$ 35,776,286
Total On-Going Costs	\$ 1,164,890	\$ 12,015,783	\$ 55,602,536	\$ 77,067,334	\$ 78,526,324	\$ 98,561,041	\$ 103,664,215	\$ 108,438,965	\$ 68,933,241	\$ 610,988,258

* Partial Year - FFY 2004 Maintenance Costs reflect actual costs captured from October 1, 2003 - June 30, 2004.

4.3.3.3 Benefits and Savings Realization

In the 1995 Advance Planning Document (APD) for the CWS/CMS, the State anticipated achieving two primary benefits from system implementation:

- Administrative efficiencies through the increased productivity of workers and the displacement of existing county IT systems used to support the delivery of Child Welfare Services; and
- Programmatic benefits through improved business processes and uniform statewide tools introduced to social workers for the first time.

While the State recognized the implemented CWS/CMS would deliver these benefits, the impact on many of the program components managed by CWS/CMS were not estimated at the inception of the project.

Using the 1998 ACF-approved APDU data as the baseline, the following table is based on the federal cost benefit analysis (CBA) depicts the total cost reductions/avoidances for each CWS/CMS benefit. The table includes the updated benefit targets from the approved 2004 APDU.

Table 35 - CWS/CMS Benefit Projections and Updates

	1998 Projection	2004 APDU
1. Converting County CWS Systems	\$135,814,609	\$141,437,054
2. Eliminating Other County Systems	8,288,738	9,905,485
3. Foster Care Information System (FCIS) Discontinuance	10,921,050	10,921,050
4. Family Maintenance Case Reporting	89,478,308	178,567,428
5. Adoption Foster Care Analysis and Reporting System (AFCARS) Penalty Avoidance	28,912,481	n/a
6. Productivity Gains	298,723,168	0
7. Length of Stay (LOS) in Foster Care	527,085,468	150,952,955
8. ER Caseload Closures	N/A	0
9. Family Maintenance Cases with Children Removed from Home	N/A	62,722,869
10. Kinship Guardianship Assistance Program	N/A	0
11. Forms Printing/Reproduction Costs	N/A	0
12. Base Funding Adjustment	N/A	0 ¹⁷
Total	\$1,099,223,822	\$554,506,841

¹⁷ The Base Funding Adjustment has been retained as a placeholder, although no benefit is claimed in this update. In the future, the State may quantify the cost of additional Social Workers that would have been required to meet Caseload standards had CWS/CMS not been implemented in California.

The State reports to the ACF via the Annual APDU on the level to which savings have been realized due to implementation of the CWS/CMS. The State has reported that CWS/CMS is consistent with the intent of the SACWIS regulation goal of efficient, effective, and economical administration of Title IV-E and IV-B programs in California. The chart below compares the costs to the benefits (realized to date) because of implementing the CWS/CMS and shows the projection of costs and benefits through FFY 2008.

Table 36 – CWS/CMS Cost Benefit Measurement Actuals through FFY 2004 and Projections to FFY 2008

COST BENEFIT MEASUREMENT ^{a,b}																
System Life Cost Profile																
Description	Year 1 <1994	Year 2 1995	Year 3 1996	Year 4 1997	Year 5 1998	Year 6 1999	Year 7 2000	Year 8 2001	Year 9 2002	Year 10 2003	Year 11 2004	Year 12 2005	Year 13 2006	Year 14 2007	Year 15 2008	Total
One Time Costs	\$12.1	\$8.2	\$90.1	\$31.8	\$8.4	\$0.1	\$0.1	\$0.1	\$0.2	\$0.4	\$0.0	\$0.9	\$0.0	\$0.0	\$0.0	\$152.3
Additional Estimated Costs ^c	\$0.0	\$0.0	\$0.1	\$1.0	\$7.2	\$15.0	\$10.8	\$11.3	\$13.4	\$10.6	\$42.5	\$28.4	\$28.3	\$28.3	\$28.3	\$225.1
Ongoing Costs ^{d,e}	\$0.0	\$0.0	\$1.1	\$11.0	\$48.4	\$62.1	\$67.7	\$87.5	\$90.1	\$98.3	\$87.4	\$102.2	\$113.9	\$113.9	\$113.9	\$997.4
Total Costs	\$12.1	\$8.2	\$91.3	\$43.8	\$64.0	\$77.1	\$78.6	\$98.9	\$103.8	\$109.2						\$687.0
Total Projected Costs											\$129.9	\$131.5	\$142.1	\$142.1	\$142.1	\$687.7
System Life Benefits Profile																
Description	Year 1 <1994	Year 2 1995	Year 3 1996	Year 4 1997	Year 5 1998	Year 6 1999	Year 7 2000	Year 8 2001	Year 9 2002	Year 10 2003	Year 11 2004	Year 12 2005	Year 13 2006	Year 14 2007	Year 15 2008	Total
Total Benefits				\$3.4	\$8.6	\$16.2	\$26.0	\$48.1	\$53.8	\$60.8						\$217.0
Total Projected Benefits											\$59.6	\$66.1	\$68.8	\$70.6	\$72.4	\$337.5
Cumulative Benefit / Cost Profile (Actual and Projected)																
Description	Year 1 <1994	Year 2 1995	Year 3 1996	Year 4 1997	Year 5 1998	Year 6 1999	Year 7 2000	Year 8 2001	Year 9 2002	Year 10 2003	Year 11 2004	Year 12 2005	Year 13 2006	Year 14 2007	Year 15 2008	Total
Cumulative Total Benefits	\$0.0	\$0.0	\$0.0	\$3.4	\$12.0	\$28.2	\$54.3	\$102.3	\$156.2	\$217.0	\$276.6	\$342.7	\$411.5	\$482.1	\$554.5	\$554.5
Cumulative Total Costs	\$12.1	\$20.3	\$111.5	\$155.4	\$219.4	\$296.5	\$375.1	\$474.0	\$577.8	\$687.0	\$816.9	\$948.3	\$1,090.5	\$1,232.6	\$1,374.7	\$1,374.7
Comparison																
Description	Current Actual					Projected										
Total Benefits	\$217.0					\$554.5										
Less Total Costs	\$687.0					\$1,374.7										
Net Benefit (Cost)	(\$470.1)					(\$820.2)										
Benefit/Cost Ratio	3.16648					2.47920										
Breakeven																

^a Dollars in millions.^b Actuals, Years 1 through 10; 1994 through 2003.^c Additional Estimated Costs include County Goods & Services^d Projected Costs are proposed budget for 2004 to 2006, extended through 2008.^e Consistent with OISM-ACF-IM-93-4, Costs include training activities described in our Title IV-B State Plan.

4.3.4 Key Financial Findings

This section identifies the key financial trends and findings for costs and benefits related to the CWS/CMS. In general, findings concentrate on the last full three years of cost data (i.e., FFY 2001 through FFY 2003). Future projections, where appropriate, have been included to illustrate anticipated trends and funding allocations. Findings within the section highlight areas that may be affected by the implementation of any of the selected alternatives. The following sections describe each of the key financial findings:

- Continuing SACWIS Development Costs
- Maintenance and Operations Cost Trends
- Full Utilization of State Goods and Services Budgeted M&O Funds
- Unused Portion of County Goods and Services Budgeted M&O Funds
- Unused Portion of Vendor Goods and Services Budgeted M&O Funds
- As Needed Use of Contracted Goods and Services M&O Funds
- Benefit Realization Trends
- Anticipated Costs of Future Plans

4.3.4.1 Continuing SACWIS Development Costs

The SACWIS Assessment Review is still open, pending completion of SACWIS functions required to close out the assessment. The CWS/CMS has been in SACWIS Assessment Review since August 1999. Until the SACWIS Assessment Review is complete, the State will continue to incur one-time development costs to complete the SACWIS. Because the CWS/CMS continues to be a dual state of existence, multiple cost allocation plans must be used and the additional federal reviews and planning for development outside of a normal development lifecycle requires a significant effort on the part of HHSDC staff. The following table illustrates the costs incurred over the past two full fiscal years toward planning for and developing SACWIS functionality. Because no SACWIS development costs were incurred during FFY 2001, only costs for FFY 2002 and FFY 2003 are shown here. Cost categories with no SACWIS development costs (i.e., County Goods and Services) during FFY 2002 and FFY 2003 were not included in the following table.

Table 37 – SACWIS Development Costs Since 1998

Budgeted Versus Actual SACWIS Development Costs FFY 2002 - 2003				
	Budget	Expenditure	Variance	% Unused
FFY 2002				
State Goods and Services				
HHSDC Project Staff				
Salary & Benefits		60,228	(60,228)	-100%
Operating Expenses		3,475	(3,475)	-100%
Travel		318	(318)	-100%
HHSDC Admin Overhead		9,264	(9,264)	-100%

Budgeted Versus Actual SACWIS Development Costs FFY 2002 - 2003				
	Budget	Expenditure	Variance	% Unused
Total State		73,285	(73,285)	-100%
Contract Goods and Services				
Project Management Support				
SACWIS Analyses	1,176,125	70,522	1,105,603	94%
Adoptions APDU	86,400			0%
Adoptions Business Case	49,152	45,696	3,456	7%
Title IV-E Eligibility Determination Analysis	20,480	24,826	(4,346)	-21%
Total Contract	1,176,125	70,522	1,105,603	94%
Total FFY 2002	1,176,125	143,806	1,032,319	88%
FFY 2003				
State Goods and Services				
HHSDC Project Staff				
Salary & Benefits	386,166	186,324	199,842	52%
Operating Expenses	94,441	34,750	59,691	63%
Travel	5,614		5,614	100%
County Staff Consulting Contracts	32,019		32,019	100%
HHSDC WAN Services	136,300		136,300	100%
HHSDC Admin Overhead	70,500	31,989	38,511	55%
Total State	725,039	253,062	471,977	65%
Contract Goods and Services				
Project Management Support				
Title IV-E Eligibility Determination Analysis	76,800	43,315	33,485	44%
Title IV-A/XIX Interface Analysis	65,507	56,142	9,364	14%
Adoptions		9,536	(9,536)	-100%
Total Contract	142,307	108,993	33,313	23%
Total FFY 2003	867,346	362,056	505,290	58%
Total	2,043,471	505,862	1,537,608	75%

4.3.4.2 Maintenance and Operations Cost Trends

As illustrated in the chart below, maintenance and operations costs have increased an average of 23% per year, with growth slowing to less than 1% per year since FFY 2002.

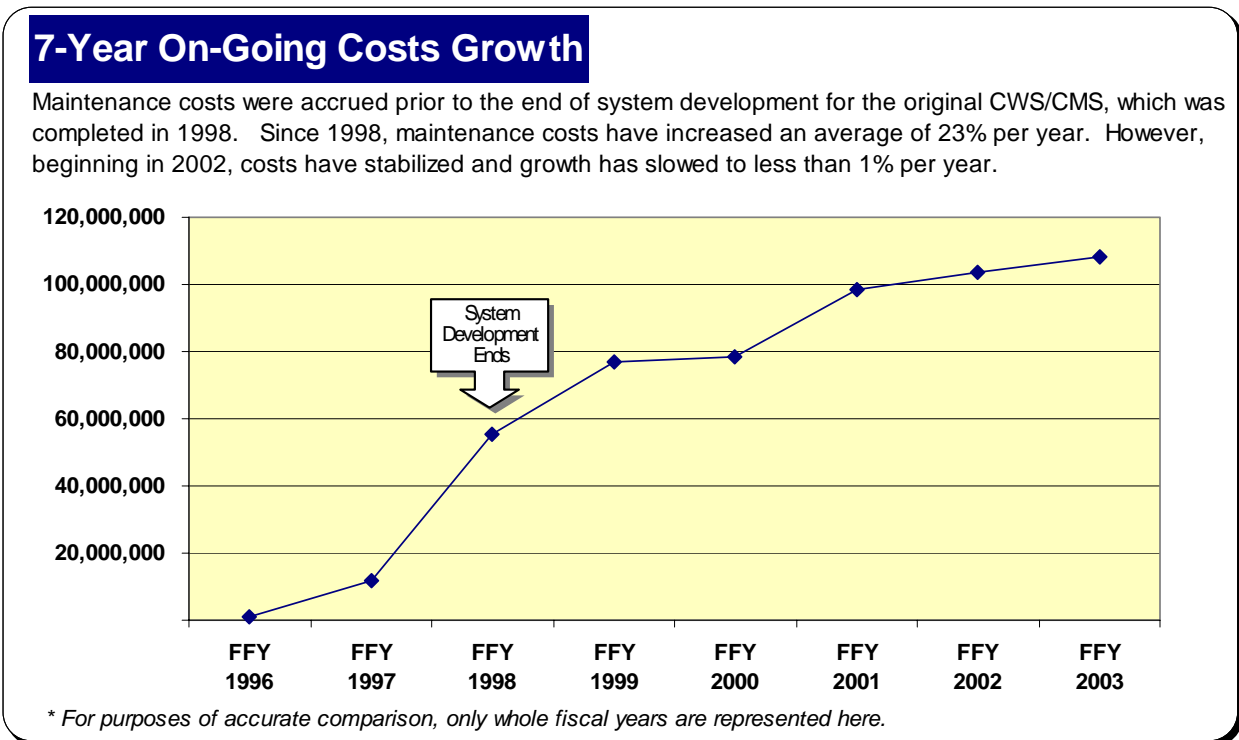


Figure 20 – Seven-Year Ongoing M&O Costs Growth

Between 1996 and 1998, maintenance costs increased consistently with the increased activities associated with CWS/CMS development (WAN usage), office automation roll-out to the counties, and implementation of the CWS/CMS statewide. Between system implementation in FFY 1998 and FFY 2002, CWS/CMS experienced a significant statewide increase in overall usage. The increased usage was attributed to: 1) increased number of users and 2) increased transaction volume (i.e., full utilization of the CWS/CMS and increased size and ratio of transaction per day to number of active cases). These two factors led to increased costs in two specific vendor M&O cost categories: 1) Basic M&O and 2) Additional User M&O.

- Increased Basic M&O Costs** – The existing CWS/CMS prime vendor contract provides Basic M&O services for a set number of sites and users as identified in the contract baseline. Between FFY 1998 and FFY 2000, the number of users increased from 15,550 to 18,246. Today, this number increased now over 19,000. Additionally, through the execution of Contract Amendment 10, vendor cost per system user per month increased from \$73.30 per user per month to \$243.63 per user per month. While the increased price appeared to be significant, evaluations by two independent vendors verified that the increased rate was reasonable. Between FFY 1999 and FFY 2000, the costs for Basic M&O services increased by 43%, and between FFY 2000 and FFY 2001, by 34%. The

following chart illustrates the increase in Basic M&O expenditures from FFY 1999 through FFY 2003.

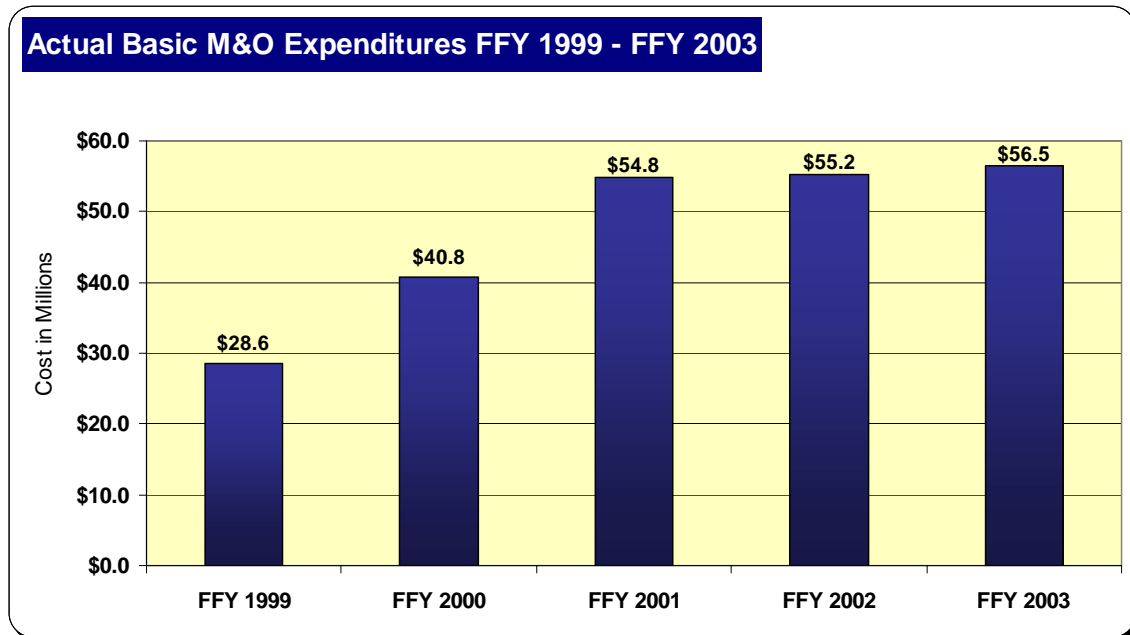


Figure 21 – Actual Basic M&O Expenditures for FFY 1999 – FFY 2003

In FFY 2001, a revised budget and contract was established, and costs have remained relatively stable over the past three fiscal years. The chart below shows that the percentage change in the budget has been less than 3% since FFY 2002.

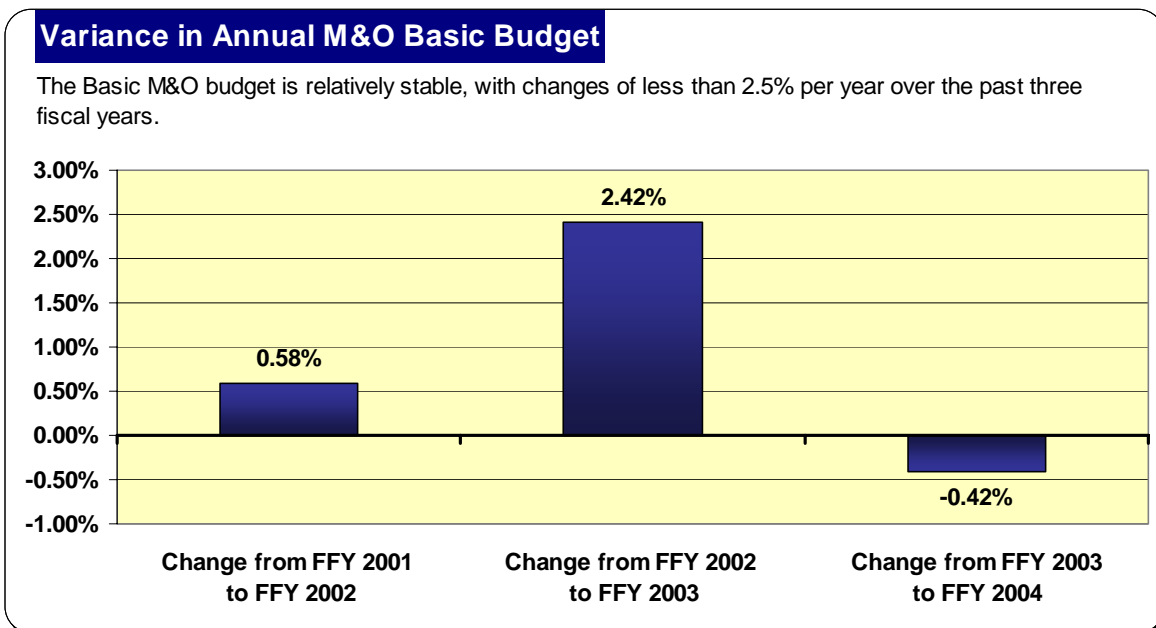


Figure 22 – Variance in Annual M&O Basic Budget

It should be noted that before Contract Amendment #20, any hours remaining at the end of each contract year were lost. Under Contract Amendment #20, unused hours roll over to the next contract year. The vendor provides reports on a monthly basis delineating the usage of these hours.

- **Additional User M&O** – Since 1999, CDSS has continued to emphasize the utilization of CWS/CMS and, in June of 2000, CDSS sent out an All-County Letter addressing full utilization and certification. Cost and utilization trends during that time period coincided CDSS' enforcement of CWS/CMS utilization. Full utilization of the CWS/CMS by an increased number of users and an increased size and ratio of transaction per day to the number of active cases resulted in increased 1) CPU usage, 2) number of user IDs and workstations to be maintained, and 3) number of Direct Access Storage Devices (DASD). The increase in each of these areas resulted in significant increases in Additional Resource Charges (ARCs). Between 1999 and 2002, system utilization increased by 62%. During this same time period of increased utilization, the size of each transaction grew by 57% and host CPU usage grew by 99%. Costs were commensurate with this growth. Over the past three fiscal years, the actual costs for ARCs increased by 71%.

Although there are no current projections for an increase in CWS/CMS workload, the CWS/CMS Project does anticipate growth in host mainframe utilization. The primary factors for this anticipated increase in host utilization are due to projected increases in the:

- **Number of transactions processed** – Usage patterns indicate a significant increase in the number of transactions processed daily within the CWS/CMS. In the past year, the average number of transactions processed on an average workday has increased from 275,000 to over 300,000.
- **Size of transactions processed** – The amount of data stored in the CWS/CMS database is always increasing because of the requirement of CWS workers to document all aspects of open cases and referrals. To be able to accommodate the increase in data storage, the size/capacity of the database must also increase.

The prime vendor contract with IBM Global Services provides for increases to the Base M&O payments to cover host mainframe capacity upgrades. Upgrades are necessary to increase system capacity in response to increased utilization of the CWS/CMS. The Base M&O payment increases \$1,000 per Millions of Instructions Per Second (MIPS) of capacity increase beginning the first month following an upgrade. As an example, an increase in mainframe capacity of 100 MIPS on the first day of the year would result in an addition to the baseline of \$100,000 per month for each remaining month of the contract, or \$1.2 million annually. This funds all vendor incurred hardware/software acquisitions necessary to complete the upgrade to the host mainframe. The State monitors system utilization data provided monthly by the prime vendor to forecast when such host mainframe upgrades would be necessary. Upgrades are authorized by the State only after Federal approval. As shown in the following table, the host usage budget has increased significantly each year since FFY 2001.

Table 38 – Budgeted Versus Actual Additional M&O Costs

Budgeted Versus Actual Additional User M&O Costs FFY 2001 - 2003				
	Budget	Expenditure	Variance	% Unused
FFY 2001				
Host Usage	1,656,075	4,911,940	(3,255,865)	(197%)
Disk Space				
User ID/Workstations	1,360,536	1,666,040	(305,505)	(22%)
Dial-in	4,586,284	149,125	4,437,159	97%
Subtotal	7,602,894	6,727,105	875,789	12%
FFY 2002				
Host Usage	9,663,767	8,139,083	1,524,684	16%
Disk Space	2,728,400		2,728,400	100%
User IDs/Workstations	140,463	2,474,800	(2,334,337)	(1662%)
Dial-in	110,059	138,557	(28,498)	(26%)
Subtotal	12,642,689	10,752,440	1,890,249	15%
FFY 2003				
Host Usage	12,063,973	7,561,811	4,502,162	37%
Disk Space	238,404		238,404	100%
User IDs/Workstations	3,042,420	1,734,613	1,307,807	43%
Dial-in	129,868	143,334	(13,466)	(10%)
DASD	238,404		238,404	100%
Subtotal	15,713,069	9,439,758	6,273,311	40%
Total	35,958,652	26,919,303	9,039,349	25%

As part of negotiations of Contract Amendment 20 with IBM Global Services, the CWS/CMS Project planned for an annual increase of 11% for host mainframe utilization beginning in FFY 2004. Amendment 20 further integrated the cost for ARCs into the Vendor Basic M&O costs beginning in FFY 2004. Therefore, the Additional User M&O (ARC) line items will not be in the FFY 2004 budget (or budgets thereafter) as a separate cost category. The Dial-In line item will remain under the Additional User M&O category.

4.3.4.3 Full Utilization of State Goods and Services Budgeted M&O Funds

As illustrated in the chart below, the State Goods and Services budgeted costs have been consistently utilized at or above 100% each year. The State has successfully stayed with 10% of its planned budget for the past three fiscal years.

Percent of State Goods and Services Budget Unused

Between FFY 2001 and FFY 2003, the State consistently stayed within 10% of its planned budget. The primary reasons for the overage in FFY 2003 were increased operating expenses, DGS fees to support procurement activities, and staff time claimed against the CWS/CMS budget.

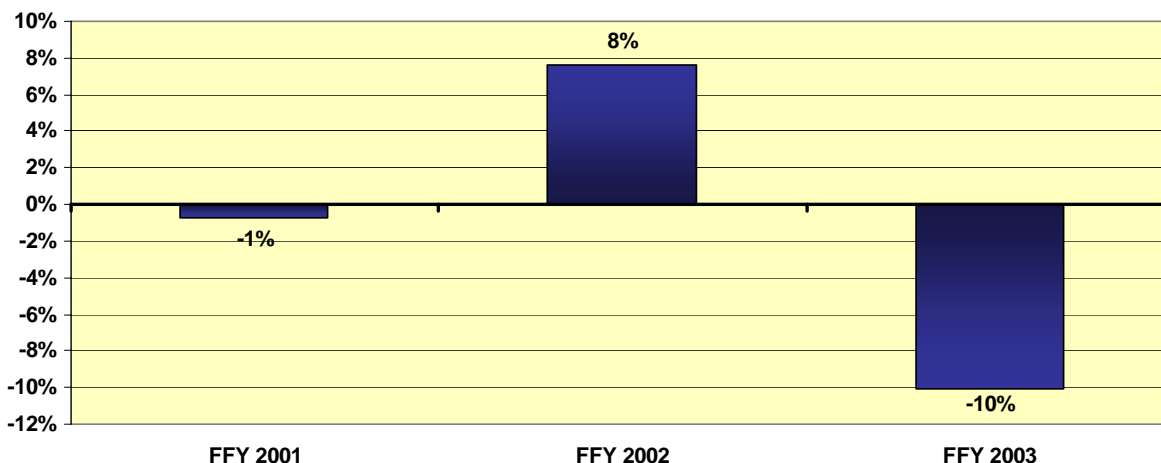


Figure 23 – Percent of State Goods and Services Budget Unused (FFY 2001 – FFY 2003)

The reasons for the slight variances in actual versus budgeted costs are:

- Vacancies in the organization;
- Overtime and classification upgrades;
- Redirection of Expanded Adoptions Subsystem (EAS) staff to the project as a result of the EAS project being put on hold;
- Limited availability of County Staff Consultants;
- Higher than anticipated operating expenses for purchase of office supplies;
- Changes in travel expenditures because of more management traveling to regional meetings with users and fewer county consultants traveling to the project site;
- Lower overhead rates for HHSDC WAN Services and HHSDC Admin Overhead; and
- Reporting of CDSS project staff expenditures (in accordance with ACF guidance) without a commensurate budget.

The following table details the actual amount expended for each State Goods and Services line item and compares that amount to the budgeted amount for FFY 2001 through FFY 2003.

Table 39 – Budgeted Versus Actual State Goods and Services Costs (FFY 2001 – FFY 2003)

Budgeted Versus Actual State Goods and Services Costs FFY 2001 - 2003				
	Budget	Expenditure	Variance	% Unused
FFY 2001				
HHSDC Project Staff				
Salary & Benefits	2,814,644	2,761,265	53,379	2%
Operating Expenses	309,750	423,222	(113,472)	(37%)
Travel	588,594	231,823	356,771	61%
Subtotal	3,712,988	3,416,310	296,678	8%
CDSS Project Staff				
Salary & Benefits		1,814,917	(1,814,917)	(100%)
Operating Expenses		1,054,070	(1,054,070)	(100%)
Subtotal		2,868,987	(2,868,987)	(100%)
County Staff Consult. Contracts	532,800	272,613	260,187	49%
HHSDC WAN Services	6,079,367	4,227,861	1,851,506	30%
HHSDC Admin	949,913	494,581	455,333	48%
DGS Fee	144,120	219,005	(74,885)	(52%)
Total FFY 2001	11,419,188	11,499,356	(80,168)	(1%)
FFY 2002				
HHSDC Project Staff				
Salary & Benefits	2,969,720	3,043,422	(73,702)	(2%)
Operating Expenses	312,000	544,460	(232,460)	(75%)
Travel	589,344	207,725	381,619	65%
Subtotal	3,871,064	3,795,606	75,458	2%
CDSS Staff				
Salary & Benefits		1,358,386	(1,358,386)	(100%)
Operating Expenses		439,540	(439,540)	(100%)
Subtotal		1,797,926	(1,797,926)	(100%)
County Staff Consult. Contracts	532,800	361,058	171,742	32%
HHSDC WAN Services	6,151,616	4,175,290	1,976,326	32%
HHSDC Admin Overhead	949,913	597,601	352,312	37%
DGS Fee	144,120	32,235	111,885	78%
Total FFY 2002	11,649,513	10,759,716	889,797	8%
FFY 2003				
HHSDC Project Staff				
Salary & Benefits	3,511,968	3,599,218	(87,250)	(2%)
Operating Expenses	259,374	997,134	(737,760)	(284%)
Travel	178,008	193,672	(15,664)	(9%)
Subtotal	3,949,350	4,790,024	(840,674)	(21%)
CDSS Staff				
Salary & Benefits	425,392	2,669,518	(2,244,126)	(528%)
Operating Expenses		721,363	(721,363)	(100%)
Subtotal	425,392	3,390,880	(2,965,488)	(697%)
County Staff Consult. Contracts	532,800	342,065	190,735	36%
HHSDC WAN Services	6,151,616	3,703,551	2,448,065	40%

Budgeted Versus Actual State Goods and Services Costs FFY 2001 - 2003				
	Budget	Expenditure	Variance	% Unused
HHSDC Admin Overhead	716,941	671,234	45,707	6%
DGS Fee	36,030	105,321	(69,291)	(192%)
Total FFY 2003	11,812,129	13,003,075	(1,190,946)	(10%)
Total	34,880,830	35,262,147	(381,316)	(3%)

4.3.4.4 Unused Portion of County Goods and Services Budgeted M&O Funds

The County Goods and Services cost category is comprised of expenditures for merit staff, local contract services, local networks, hardware/equipment (servers, PCs laptops, printers) and software required to support CWS/CMS. Costs in this category are only attributable to SACWIS M&O (not Title IV-E program administrative expenses) and reported as a county expense via the CDSS claiming system. Any costs that are not declared through the claiming system are not reimbursed from the State budget. The budgeted depreciation costs captured within the County Goods and Services budget have been fully utilized each fiscal year; therefore, they will not be included in this discussion. The Local M&O subcategory, however, shows significant deviations between budgeted costs and actual expenditures. As shown in the chart below, in FFY 2001, 77% of the total budget allocated for Local M&O was not used (or not claimed) for State reimbursement by the counties. The reasons for the high percentage of unused (unclaimed) County Goods and Services Local M&O budget stem from a variety of situations at the local level.

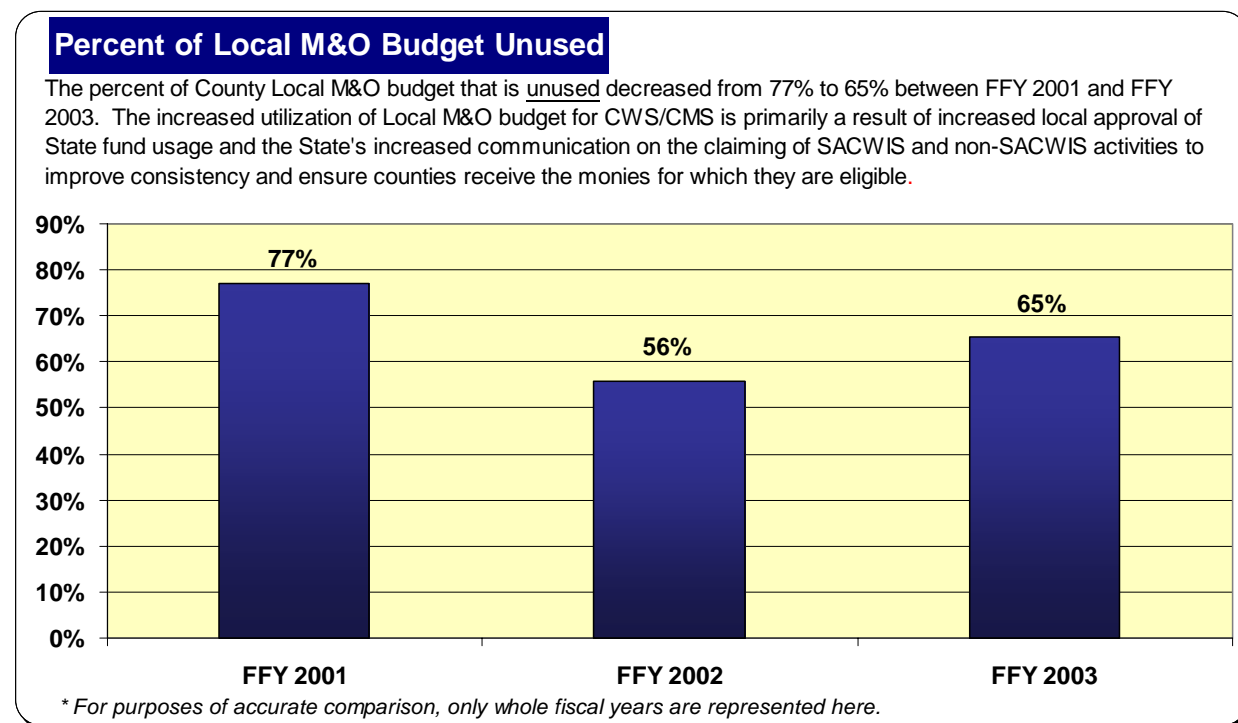


Figure 24 – Percent of Local M&O Budget Unused (FFY 2001 – FFY 2003)

The following details the actual amount expended for each Local M&O line item and compares that amount to the budgeted amount.

Table 40 – Budgeted Versus Actual Local M&O Costs (FFY 2001 – FFY 2003)

Budgeted Versus Actual Local M&O Costs FFY 2001 - 2003				
	Budget	Expenditure	Variance	% Unused
FFY 2001				
System Support Staff	27,235,842	7,716,227	19,519,615	72%
Workstations	5,587,481	2,551,476	3,036,005	54%
Moves, Adds, and Changes	14,146,955	290,911	13,856,044	98%
Networking		78,879	(78,879)	(100%)
Servers		212,032	(212,032)	(100%)
Printers				
Subtotal	46,970,278	10,849,525	36,120,753	77%
FFY 2002				
System Support Staff	28,837,896	9,515,714	19,322,182	67%
Workstations		2,608,292	(2,608,292)	(100%)
Moves and Changes			-	
Networking Hardware		497,153	(497,153)	(100%)
Servers		138,556	(138,556)	(100%)
Printers			-	
Subtotal	28,837,896	12,759,715	16,078,181	56%
FFY 2003				
System Support Staff	25,425,000	8,181,851	17,243,149	68%
Goods and Services		1,664,178	(1,664,178)	(100%)
<i>Workstations</i>	<i>2,579,884</i>		<i>2,579,884</i>	<i>100%</i>
<i>Moves and Changes</i>				
<i>Networking Hardware</i>	<i>288,016</i>		<i>288,016</i>	<i>100%</i>
<i>Servers</i>	<i>175,294</i>		<i>175,294</i>	<i>100%</i>
<i>Printers</i>				
Subtotal	28,468,194	9,846,029	18,622,165	65%
Total	104,276,368	33,455,269	70,821,099	68%

4.3.4.5 Unused Portion of Vendor Goods and Services Budgeted M&O Funds

Four categories comprise the Vendor Goods and Services cost category: 1) Basic M&O Service, 2) Additional User M&O, 3) System Changes, and 4) Technical Infrastructure. The three-year trends/history of the ARCs costs and the merging of the ARCs into the Basic M&O category are discussed in Section 4.3.4.2. Therefore, additional discussions regarding Additional User M&O costs, and specifically ARCs, will not be included here.

Additionally, the Basic M&O costs are fixed costs per contract language and do not deviate as a general rule; therefore, they will not be included in the discussion of unused funds. It is important to note that a budget placeholder entered in FFY 2003 was not removed when the new contract amounts were updated mid-year, which resulted in the dual reporting of budgeted

amounts for Basic M&O. The budget reported that 46% of the Basic M&O budget was not used, which did not reflect the true accounting of actual expenditures to the true budget amount. The discussion in this finding will focus on the percentage of the Vendor Goods and Services budget that was not used during FFY 2001 through FFY 2003 for 1) System Changes and 2) Technical Infrastructure.

- **Planned System Changes** – Currently, the State can utilize up to \$10.5 million annually for system changes. However, the allocation for specific changes cannot be placed in the actual budget until federal approval is obtained for each change. The chart below illustrates the portion of the \$10.5 million system change funding not used between FFY 2001 and FFY 2003.

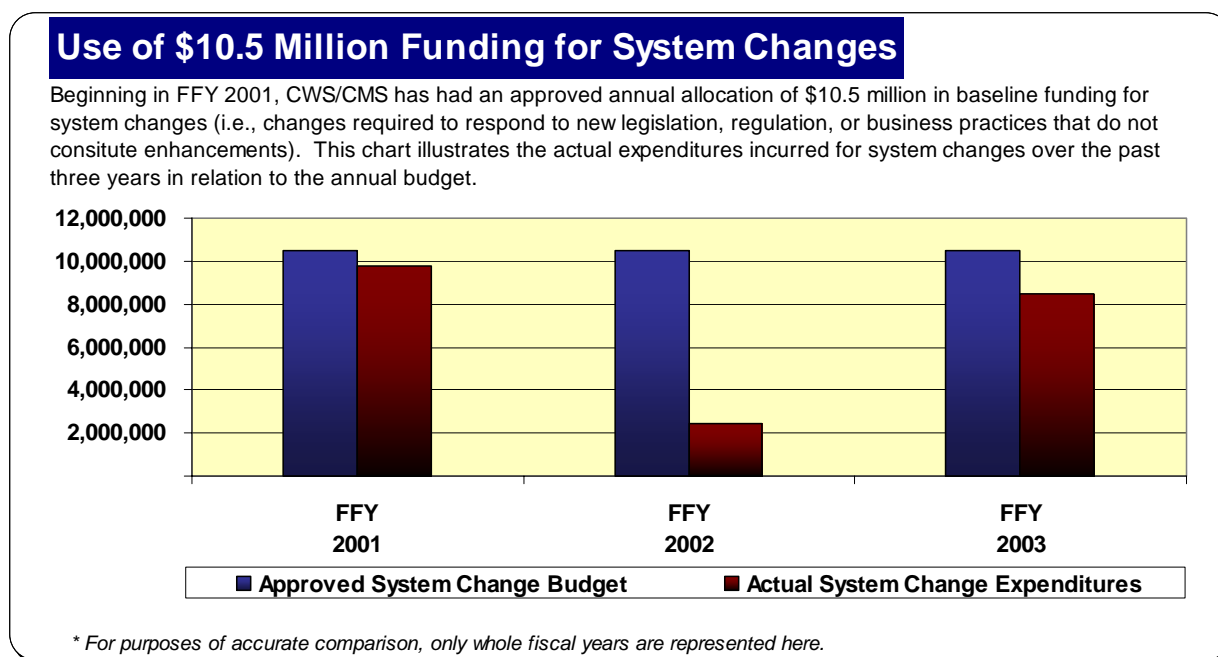
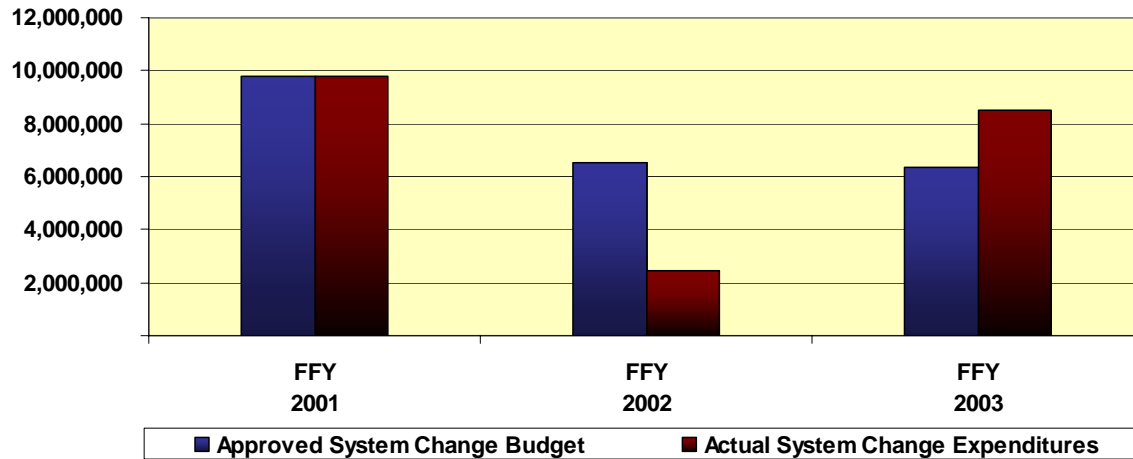


Figure 25 – Use of \$10.5 Million Funding for System Changes (FFY 2001 – FFY 2003)

Although the State has \$10.5 million in funding allocated for system changes annually, without federal approval for each change, the anticipated cost of the change cannot be included in the official federal budget. System Changes are performed on an ongoing basis, typically with two to four maintenance releases per year. The chart below illustrates the amount of approved system changes that could be included in the budget and actual expenditures for each fiscal year.

Budget Versus Actual System Changes

This chart illustrates the actual expenditures incurred for system changes over the past three years in relation to the approved budget.



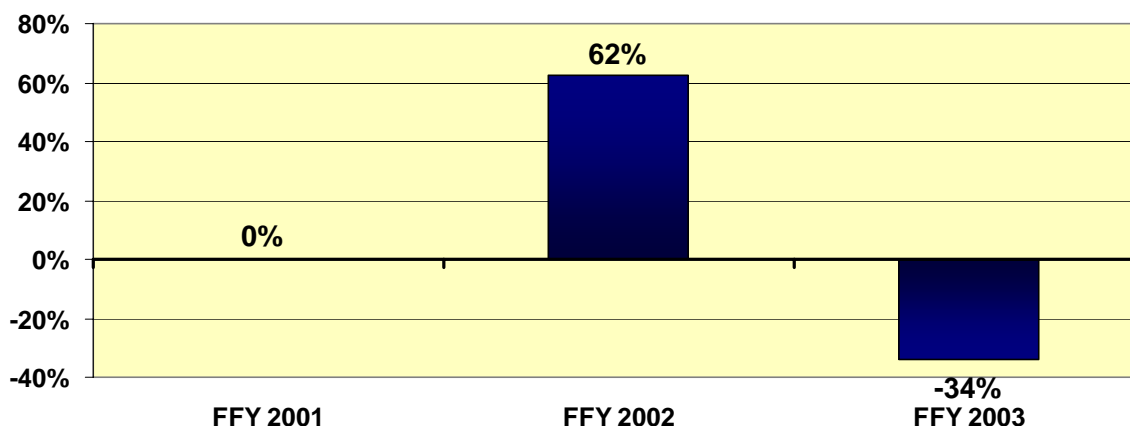
** For purposes of accurate comparison, only whole fiscal years are represented here.*

Figure 26 – Budgeted Versus Actual System Changes (FFY 2001 – FFY 2003)

The following chart presents the amount of unused budget for approved system changes actual costs. The chief reason for the deviation in budget usage is that actual payment for Release 5.2 was split over two fiscal years.

Percent of System Change Budget Unused

This chart illustrates the unused amount of the Vendor Goods and Services Budget that is allocated for making critical system changes from FFY 2001 to FFY 2003.



* Partial Year - FFY 2004 Maintenance Costs reflect actual costs captured from October 1, 2003 - June 30, 2004.

Figure 27 – Percent of System Change Budget Unused (FFY 2001 – FFY 2003)

The table below details the actual items that were budgeted for system change and the actual expenditures incurred for each item.

Table 41 – Budgeted Versus Actual System Changes Costs (FFY 2001 – FFY 2003)

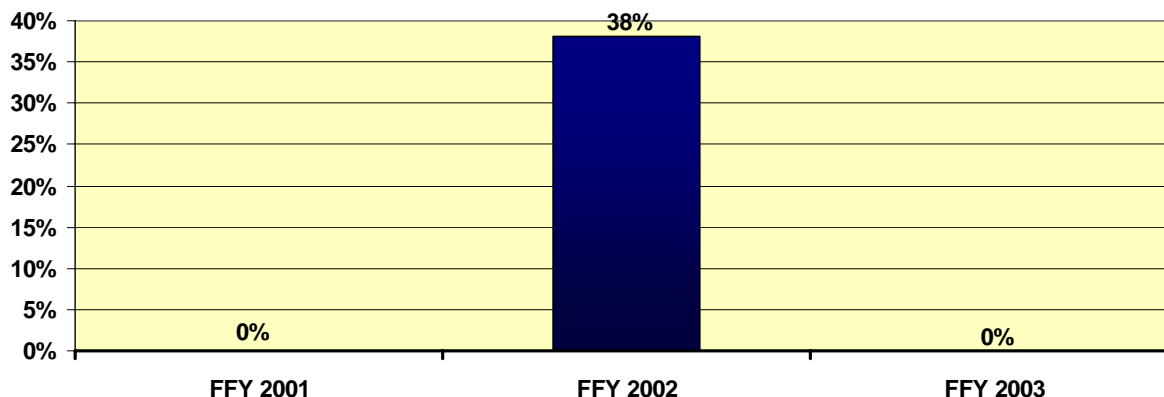
Budgeted Versus Actual System Changes Costs FFY 2001 - 2003				
	Budget	Expenditure	Variance	% Unused
FFY 2001				
Data Recovery (WA9906)	486,639	486,639	-	0%
Release 4.2 Changes (WA0002)	3,230,398	3,230,398	-	0%
CAD-DB (WA0003)	666,359	666,359	-	0%
Portability Pilot (WA0004)	3,243,052	3,243,052	-	0%
Release 5 Port CWS/CMS to W2k (WA0007)	2,051,538	2,051,538	-	0%
Release 4.1.1 and 4.1.2 (WA0008)	35,451	35,451	-	0%
Maintain SAS (WA0111)	44,006	44,006	-	0%
Subtotal	9,757,443	9,757,443	-	0%
FFY 2002				
CAD 2 Development	1,658,586	-	1,658,586	100%
CAD User Website	180,983	-	180,983	100%
Release 5.1 Contact 2	-	-	-	0%
Release 5.2 Placement (WA0102)	3,459,047	1,233,890	2,225,157	64%
Windows 2k Workstation Upgrade (WA0006)	859,678	859,678	-	0%

Budgeted Versus Actual System Changes Costs FFY 2001 - 2003				
	Budget	Expenditure	Variance	% Unused
Perf Imp & CPU Reduction (WA0204)	34,250	34,250	-	0%
Release Planning (WA0206)	66,335	66,335	-	0%
Disaster Recovery Analysis (WA0207)	99,810	99,810	-	0%
Maintain SAS (WA0111)	132,017	132,017	-	0%
Maintain SAS (WA0211)	41,012	32,312	8,700	21%
Subtotal	6,531,718	2,458,293	4,073,426	62%
FFY 2003				
Release Planning (WA0206)	20,165	20,165	-	0%
Maintain SAS (WA0211)	123,036	136,707	(13,671)	-11%
Release 5.2 Placement (WA0102)	6,207,182	8,356,622	(2,149,440)	-35%
FTP County Data Upgrade (WA0210)	-	-	-	0%
Subtotal	6,350,383	8,513,494	(2,163,111)	-34%
Total	22,639,544	20,729,229	1,910,315	8%

- **Technical Infrastructure** – Because of the architecture of CWS/CMS, it is critical that technology maintenance activities occur within prescribed timeframes. These technology maintenance activities are necessary for complete and accurate information to help make critical child safety decisions and meet mandated state and federal reporting requirements. As shown in the chart below, 38% of the budget was unused in FFY 2002. The main reason for this budget being unused was insufficient staff resources to complete many activities, including the office automation software upgrade, asset management software installation, project office hardware/software, printer replacement, and IP address maintenance.

Percent of Technical Infrastructure Budget Unused

This chart illustrates the unused amount of the Vendor Goods and Services Budget that is allocated for purchasing technical components (i.e., servers) to support the CWS/CMS from FFY 2001 to FFY 2003.



* For purposes of accurate comparison, only whole fiscal years are represented here.

Figure 28 – Percent of Technical Infrastructure Budget Unused (FFY 2001 – FFY 2003)

4.3.4.6 As-Needed Use of Contracted Goods and Services

The State utilizes contracted services in response to increased workloads (on an as-needed basis), larger level of effort necessary to complete services, need for specialized skills, or unanticipated activities. As shown in the chart below, FFY 2002 incurred the largest amount of unused budget in this area, 77%. The main reasons for the under usage were mistaken assignment of budget between FFY 2002 and FFY 2003 and contracts were not executed as planned for the Executive Sponsor IV&V – Phase 2, As-Needed APDU Assistance, Process Definition Improvement, Website Planning, Workstation Replacement, and Desktop Image and Memory Upgrade. Although not as significant as FFY 2002, FFY 2003 incurred a variance of 38% because of ongoing discussions between the State and ACF regarding the scope of the Executive Sponsor IV&V, Phase 2; ACF denial of dedicated county LAN hardware replacement; and a delay in laptop procurements until FFY 2005.

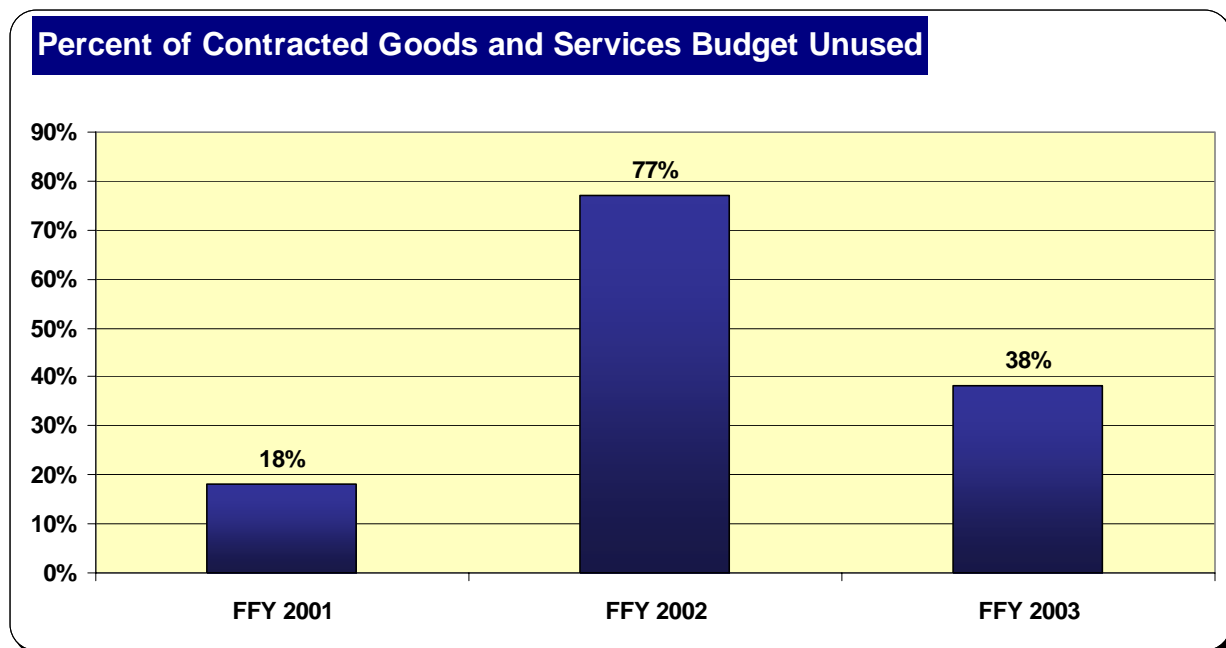


Figure 29 – Percent of Contracted Goods and Services Budget Unused (FFY 2001 – FFY 2003)

4.3.4.7 Benefit Realization Trends

The State of California reports within its 2004 APDU that the CWS/CMS is consistent with the intent of the SACWIS regulation goal of efficient, effective, and economical administration of Title IV-E and IV-B programs in California. The CWS/CMS currently supports 58 counties (each with county-specific business administration, different organization structures, and diverse operational processes) in the automated processing of nearly 170,000 Child Welfare cases. Prior to the implementation of CWS/CMS, a significant portion of the counties utilized entirely manual processes for managing cases and reporting information to county, State, and federal agencies. Without CWS/CMS, the ability for case workers to effectively provide children with the necessary services and report required information to funding and oversight agencies while managing an ever increasing workload may have been notably diminished. With the

implementation of CWS/CMS, the State and counties projected realizing the savings in the following areas:

- Converting County CWS Systems
- Eliminating Other County Systems
- FCIS Discontinuance
- Family Maintenance Case Reporting
- AFCARS Penalty Avoidance
- Productivity Gains
- LOS in Foster Care
- ER Caseload Closures
- Family Maintenance Cases with Children Removed from Home
- Kinship Guardianship Assistance Program
- Forms Printing/Reproduction Costs
- Base Funding Adjustment

Beginning with the State's 2002/03 APDU, a significant reduction in benefits was reflected from prior projections because:

- The penalty avoidance benefit associated with Adoptions and Foster Care Analysis and Reporting System (AFCARS) Penalty Avoidance cannot be claimed in a federal APDU.
- Although evaluated and claimed previously, the State has rescinded the benefit claim for Emergency Response Program case closure rate. The State will keep the option open and revisit the benefit at a later date.
- Although substantial program savings have resulted from the implementation of the CWS/CMS, the State has been unable to document the time and motion changes experienced as a result of the CWS/CMS implementation to fully claim the Productivity Gains made in this area. The State will keep the option open and revisit the benefit at a later date.
- Savings claimed from the Kinship Guardian Assistance Program (KinGAP) are a purely programmatic benefit. Although CWS/CMS is utilized to manage KinGAP, the benefits probably may have been achieved without CWS/CMS. In the future, the state may reassess this benefit to determine if any cost avoidance occurred as a result of using CWS/CMS to implement this program.
- Although the implementation of CWS/CMS provides electronic storage of many state and county forms and documents in the CWS/CMS database and the state has realized savings from reduced printing and reproduction costs associated with pre-printed forms, the savings are less than \$10 million over the useful life of the system and are not considered to be a significant savings against system costs by ACF. At the request of ACF in February 2003, the State removed this savings. The State will keep the option open and revisit the benefit at a later date.
- Although the State believes that without CWS/CMS it would have had to significantly increase the number of Child Welfare Services staff to achieve the same level of program

effectiveness achieved with the implementation of CWS/CMS, the Base Funding Adjustment benefit was eliminated because the State has been unable to quantify the savings of this benefit to date. The State may, in future years, quantify the difference in the number of staff that would have been required to achieve comparable program effectiveness as is currently achieved in the CWS/CMS environment.

The chart below illustrates the cumulative total quantitative benefits realized to date compared to the cumulative system costs. Although CWS/CMS has not hit a breakeven point to date, the system has returned 39% (\$217 million) of the total anticipated savings (\$554 million) based on FFY 2004 projections. While it is not anticipated that the projected cumulative savings will offset the projected cumulative costs in the next few years, it is expected that by FFY 2008, 100% of the total FFY 2004 anticipated savings projections will be achieved.

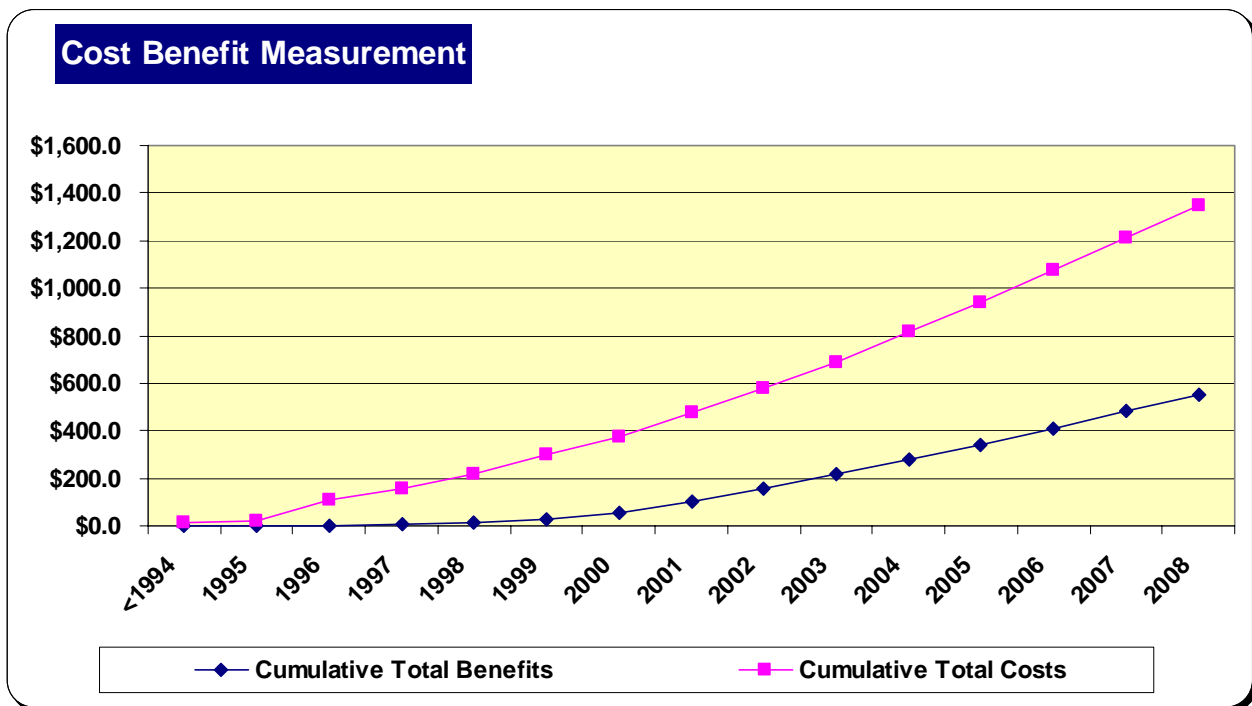


Figure 30 – Cost Benefit Measurement (FFY 1994 – FFY 2008)

The table below summarizes the total Title IV-E (Foster Care and Adoptions Assistance) and Title IV-B program expenditures, the CWS/CMS expenditures, and the benefits identified as a direct result of CWS/CMS. It is important to note that both the total ten-year system cost and the benefits achieved over that same period reflect a small percentage of the overall program cost incurred by the programs that CWS/CMS supports. Without CWS/CMS, the state may have incurred additional program costs equaling and possibly exceeding the benefits identified here.

Table 42 – CWS/CMS System Life Costs and Benefits

	IV-B/IV-E Program ¹⁸	Benefits	System Cost ¹⁹
Net Total (1998 to 2008)	\$ 35,300,000,000	\$ 554,506,842	\$ 1,374,731,169
Percentage of Program Cost		1.57%	3.89%

Total IV-E and IV-B program expenditures over the life of the CWS/CMS are projected to be approximately \$42.5 billion. As the table above demonstrates, implementing CWS/CMS has resulted in a 1.57% cost efficiency benefit with an accumulated benefit of over \$550 million.

4.3.4.8 Anticipated Costs of Future Plans

The State has outlined in its 2004 Annual APDU its FFP requests for future M&O activities through September 2006 (FFY 2006). Activity descriptions, schedules, budgets, and applicable procurement details can be found in the 2004 Annual APDU. The following summarizes each request:

- Funds have been requested in the State Goods and Services category for FFY 2005 (\$17.86 million) and FFY 2006 (\$24.95 million) for HHSDC, CDSS, County Consultant staff, DGS Fees, WAN Services, Data Center Hosting Services, and Administrative Overhead costs.
- Funds have been requested in the County Goods and Services category for FFY 2005 (\$20.53 million) and FFY 2006 (\$20.53 million) for System Support Staff and local Goods and Services costs.
- For each anticipated System Change (i.e., Child Welfare Improvement Activities Release, M&O Release, Notebook Collapse Release, and a Court System Interface Release), FFP requests will be submitted in As-Needed APDUs as each work order is finalized.
- Funds have been requested in the Vendor Goods and Services category for FFY 2006 (\$17.27 million) for Statewide Technical Refresh Activities, including workstation replacements, office suite software upgrades, operating system upgrades and Exchange mail services move to the State data center.

¹⁸ IV-E costs include actual expenditures (FC and AAP) from 1998 to 2002 (state and federal share). IV-B costs include the actual FFP grant amount adjusted to include the state share of cost. 2004 to 2008 expenditures are projected using the average growth of the program from 1998 to 2003 to project future costs through the end of the system life.

¹⁹ The system cost figure includes all one-time expenditures from the start of the project, and M&O costs through 2008. The cost figure incorporates budgeted costs for FFY 2004 through FFY 2008.

5.0 Next Steps

Using the information gathered for the baseline analysis, the TAAA Project Team will move forward to develop the TAAA evaluation framework and decision-making criteria for each of the three alternatives previously defined by the State. Meeting workshops will be established and held for key stakeholders. During the evaluation framework workshop, participants will:

- Establish a governance structure for a federal, State, and county involvement;
- Establish the decision-making process by determining the overall decision making model and evaluating principles; and
- Establish the Evaluation Framework by defining evaluation criteria, priorities, weightings, and assumptions for each alternative.

Once the evaluation framework and decision-making criteria are established for each alternative, the TAAA Project Team will begin its assessment of the technical, business and cost ramifications of each alternative, which will include separate scenarios for both SACWIS and Non-SACWIS functionality. The primary objective of the alternatives analysis is to develop a Total Cost of Ownership (TCO) comparison between each of the alternatives. The TAAA Project team will document their analysis and provide their recommendations to the State in the form of several key deliverables that include:

- Draft Section of the TAAA Report for Alternative #1
- Draft Section of the TAAA Report for Alternative #2
- Draft Section of the TAAA Report for Alternative #3
- Draft and Final Versions of the TAAA Report

As part of the delivery of each of the above deliverables, the TAAA team will conduct walkthroughs with key stakeholders to ensure understanding and facilitate the review and approval process.

Appendix A – Acronym Guide

Appendix A – Acronym Guide

Acronym	Definition
AAP	Adoption Assistance Program
AAP4	Eligibility Certification Adoption Assistance Program
AB	Assembly Bill
ACF	Administration For Children And Families
ACH	Automated Clearing House
ACYF	Administration of Children, Youth, and Families
AD90	Supporting Information For Issuance Of California Department Of Social Services Acknowledgement And Confirmation Of Receipt Of Relinquishment Documents
ADA	Americans With Disabilities Act Of 1990
AFCARS	Adoption and Foster Care Analysis and Reporting System. See the ACF Web page at: http://www.acf.hhs.gov/programs/cb/dis/afcars/index.htm
AFDC	Aid to Families with Dependent Children
ANSI	American National Standards Institute
APD	Advanced Planning Document
APDU	Advanced Planning Document Update
APGAR	Activity (Muscle Tone), Pulse, Grimace (Reflex Irritability), Appearance (Skin Color), and Respiration
API	Application Programming Interface
APPS	Automated Provider Payment System
APS	Adult Protective Service
ARCs	Additional Resource Charges
ASCII	American Standard Code for Information Interchange
ASCII	American Standard Code for Information Interchange
ASFA	The Adoption and Safe Families Act (ASFA), Public Law 105-89, was enacted in November 1997 with bipartisan support. ASFA amends the 1980 Adoption Assistance and Child Welfare Act by taking further steps to promote safety and permanence for children who have been alleged or determined to be abused and/or neglected. Congress and the Administration were especially concerned about reports that children were being left in, or returned from foster care to, unsafe family situations and that an estimated 100,000 children were in foster care waiting for adoptive families. ASFA includes a number of specific provisions that require or provide incentives for states to change policies and practices to better promote children's safety and adoption or other permanency options. ASFA also requires the Department of Health and Human Services (HHS) and the U.S. General Accounting Office (GAO) to prepare several reports to assist Congress in making future decisions on behalf of children in the child

Acronym	Definition
	welfare system. ASFA provides a unique opportunity to begin to move children who have been lingering in foster care without permanent plans into permanent homes. By clearing the system of these cases, the child welfare system should better be able to respond to children just entering care so they and their families can get the help they need and prompt permanency decisions can be made.
AT	Action Transmittal
BARC	Bay Area Regional Committee
BCP	Budget Change Proposal
BIA	Bureau of Indian Affairs
BP	Best Practices
BPR	Business Process Re-engineering
BPSG	Best Practices Support Group
BSA	California Bureau Of State Audits
CAD	Counties Access to Data
CAD ODS	See CAD and ODS
CalNET	California Net is a full-service California-based ISP offering hosting and Web services. Sign up for access. www.calnet.org
CalSERV	California Statewide Automated Welfare Information Broker project. CalSERVE Middleware Project – A Statewide system that will enable the electronic exchange of data and case information on applicants and recipients for welfare eligibility between the four consortia and other welfare-related systems. Due to lack of funding, this project is in abeyance.
CalWIN	CalWORKS Information Network Comprised of 17 counties currently members of the Welfare Case Data System (WCDS) plus Ventura County.
CalWORKs	California Work Opportunity and Responsibility to Kids
CAM	California Acquisition Manual (in work by DGS)
CAP	Cost Allocation Plan
CAP	Corrective Action Plan
CAR	Criticality Analysis Report
CBT	Computer Based Training
CCB	Change Control Board
CCL	Community Care Licensing
CCR	California Code Of Regulations
CCSA	California Child Support Automation
CCSAP	California Child Support Automation Project
CCSAS	California Child Support Automated Systems project CCSAS includes the development, implementation and operation of the single statewide system.
CDPF	Central Data Processing Facility
CDS	Case Data System (see also CalWIN Interface)

Acronym	Definition
CDS	County / District / School
CDSS	California Department of Social Services
CFCIP	Chafee Foster Care Independent Program
CFR	Code of Federal Regulations
CHSA	California Health and Human Services Agency
CI	Configuration Item
CICS	Customer Information Control System – A mainframe timesharing software system
C-IV	Consortium IV (of SAWS); a consortium of the California counties of Merced, Riverside, San Bernardino, and Stanislaus
CLC	County License Case
CLETS	Criminal Law Enforcement Tracking System
CM	Configuration Management
CM	Contract Manager
CMAS	California Multiple Awards Schedule
CMIPS	Case Management Information and Payrolling System
CMM	Capability Maturity Model
CMP	Configuration Management Plan
CMSP	County Medical Services Program
COCOMO	COnstructive COst MOdel (tool)
ConOp	Concept of Operations document
COTS	Commercial Off The Shelf
CPAF	Cost Plus Award Fee
CPFF	Cost Plus Fixed Fee
CPIP	Cost Plus Incentive Fee
CPU	Central Processing Unit
CS	Child Support
CS	Cost-Sharing
CSCPFAM	Case Plan Family Assessment
CSS	HHSDC's Customer Service System
CWD	California Welfare Department
CWDA	California Welfare Directors Association. – A non-profit Association representing the human service directors from each of the 58 counties. The Association's mission is to promote a human services system that encourages self-sufficiency of families and communities and protects vulnerable children and adults from abuse and neglect.
CWS	Child Welfare Services
CWS/CMS	Child Welfare Services/Case Management System Statewide computer system designed to automate case management and data

Acronym	Definition
	collection functions for California's Child Welfare Services program.
DASD	Direct Access Storage Device
DB2	IBM proprietary relational database management system
DCFS	Department of Children and Family Services (LA County)
DCSS	Department of Child Support Services
DD&I	Design, Development and Implementation
DDD	Database Design Description
DED	Deliverable Expectation Document
DGS	California Department Of General Services
DHHS	Department of Health and Human Services
DHHS	U.S. Department Of Health And Human Services
DHS	California Department of Health Services
DID	Data Item Description
DoD	U.S. Department of Defense
DOE	Department Of Education
DOF	Department of Finance
DOF	California Department of Finance
DOIT	Department of Information Technology
DOIT	California Department Of Information Technology
DOJ	Department of Justice
DPU	Daily Problem Umbrella
DTO	Data Transport Option (Computer Associates Unicenter add on)
DVBE	Disabled Veteran Business Enterprise
EA-1	Emergency Assistance Form
EAS	Enhanced Adoption System
EAS	Expanded Adoption Subsystem
EAS	Eligibility and Assistance Standards manual
EAW	Economic Analysis Worksheets
EBCIDIC	Extended Binary-Coded Decimal Interchange Code
EBT	Electronic Benefit Transfer Automation of Food Stamp benefit delivery providing recipients with a magnetic stripe plastic debit card to purchase food. Cash benefits will be included at county option.
EDBC	Eligibility Determination Benefit Calculation
EDD	California Employment Development Department
EDP	Electronic Data Processing
EIA	Electronic Industries Alliance
EM	Emergency Response

Acronym	Definition
DOJ	Department of Justice
FAQ	Frequently Asked Questions
FAR	Federal Acquisition Regulation
FC	Foster Care
FC2	Statements of Facts Supporting Eligibility for AFDC-Foster Care This document is used to record deprivation and income factors pertinent to the child in order to determine eligibility for foster care payment
FC8	Federal Eligibility Certification For Adoption Assistance Program
FCIS	Foster Care Information System
FFA	Foster Family Agency
FFACH	Foster Family Agency Certified Home
FFH	Foster Family Home
FFP	Federal Financial Participation
FFP	Firm Fixed Price
FFPLOE	Firm Fixed Price Level of Effort Contract
FG	Focus Group
FM	Family Maintenance
FR	Family Reunification
FP	Function Point
FPAF	Fixed Price Award Fee
FPEPA	Fixed Price Economic Price Adjustment
FPIF	Fixed Price Incentive Fee
FPIS	Fixed Price Incentive with Successive Targets
FPRP	Fixed Price Contract with Prospective Price Redetermination
FPRR	Fixed Ceiling Price Contract with Retroactive Price Redetermination
FR	Family Reunification
FSR	Feasibility Study Report
FTB	California Franchise Tax Board
FY	Fiscal Year
GC	Government Code
GCW	Getting Connected Workshop
GH	Group Home
GHO	Group Home Organization
HEP	Health and Education Passport
HHSDC	Health and Human Services Data Center
HHSDC	California Health and Human Services Agency Data Center
HUB	Network based hardware component that manages and directs network message traffic

Acronym	Definition
IAA	Inter-Agency Agreement
IAPD	Implementation Advanced Planning Document
IBMGS	International Business Machines (IBM) Global Services
IBPS	Integrated Benefits Payment System
ICPC	Interstate Compact on the Placement of Children
ICPC 100A	ICPC Request
ICPC 100B	ICPC Report on Child's Placement Status
ICWG	Interface Control Working Group
IDD	Interface Design Document
IEEE	Institute of Electrical and Electronics Engineers
IEVS	Income Eligibility Verification System
IFB	Invitation for Bid
IHHS	In-Home Support Services (IHSS) system
ILP	Independent Living Program
IRD	Interface Requirements Document
IRS	Interface Requirements Specification
ISAWS	Interim Statewide Automated Welfare System Comprised of 35 counties.
IT	Information Technology
ITP	Invitation to Partner
ITPP	Information Technology Procurement Plan
IV&V	Independent Verification and Validation
JAD	Joint Application Design
JJIS	Juvenile Justice Information System (San Bernadino County)
JV	Juvenile
JV 180	Ex Parte Application and Order and a Petition for Modification
LAN	Local Area Network
LAN	Local Area Network
LEADER	Los Angeles Eligibility Automated Determination, Evaluation and Reporting
LIS	Licensing Information System
LMS	Learning Management System (a Lotus Note product?)
M&O	Maintenance and Operations
MAC	Move, Add, and Change
MEDS	Medi-Cal Eligibility Determination System – Single, centralized, integrated system of all persons eligible for Medi-Cal, Medicare Only, Food Stamps, Healthy Families, and various related programs.
MOU	Memorandum of Understanding
MPP	Master Project Plan

Acronym	Definition
MPP	Manual of Policy and Procedures
MSA	Master Services Agreement
MSC	Management Steering Council
N/A	Not Applicable
NCAND	National Child Abuse and Neglect Data System
NOC	Network Operations Center
NPDD	Non Persistent Data Dialog
NREFM	Non-Relative Extended Family Member
O&M	Operations and Maintenance
OCSE	Office Of Child Support Enforcement
ODS	Operational Data Store
OMB	Office of Management and Budget
OPR	Office of Primary Responsibility
ORN	Online Release Notes
OSC	Oversight Committee
PAPD	Planning Advanced Planning Document
PAT	Processing Action Team
PAT	Process Action Team
PC	Personal Computer
PCAB	Proposed County Administrative Budget
PCAB	Proposed County Administrative Budget
PDF	Adobe's Portable Document Format
PH	Placement Home
PI	Program Instruction
PIER	Post Implementation Evaluation Report
PIP	Program Improvement Plan
PL/SQL	Procedure Language/SQL
PM	Project Manager
PMBOK	PMI's Project Management Body of Knowledge
PMI	Project Management Institute
PMM	Project Management Methodology (DOIT's methodology)
PMO	Project Management Office
PMP	Project Management Plan
PMP	PMI's Project Management Professional certification
PO	Project Office
POEM	Preponderance Of Evidence Model
POST	Project Office Support Tool

Acronym	Definition
PRISM	Child Support Pre-Statewide Interim Systems Management PRISM is responsible for the management of interim child support automation activities until the implementation of a single statewide child support automation system.
PRWORA	Personal Responsibility and Work Opportunity Reconciliation Act of 1996
PP	Permanent Placement
PTS	Problem Tracking System
QA	Quality Assurance
QAP	Quality Assurance Plan
RACF	Resource Access Control Facility
RAM	Risk Assessment Model
RAM	Responsibility Assignment Matrix
RAM	Risk Assessment Model
RFBP	Requests for Bid Proposals
RFBP	Requests for Best Pricing
RFP	Request For Proposal
RPA	Request for Personnel Action
RTS	Request Tracking System (replaced by term SCR on 6/22/02)
SA-CMM	Software Acquisition Capability Maturity Model
SACWIS	Statewide Automated Child Welfare Information Systems See the ACF Web page at: http://www.acf.hhs.gov/programs/oss/SACWIS/!SACWIS.htm
SADD	System Architecture Design Document
SAIDD	Software Architecture Interface Design Document
SAM	State Administrative Manual
SARG	Statewide Automated Review Guide
SAS	Statistical Analysis System (used for Statewide CWS/CMS reporting)
SAVE	Systematic Alien Verification for Entitlement
SAWS	Statewide Automated Welfare System Automation of eligibility determination for CalWORKs, Food Stamps, and Medi-Cal, plus several smaller programs through four consortiums of counties: LEADER, ISAWS, CalWIN and C-IV tied together by WDTIP and CalSERV.
SCAR	Suspected Child Abuse Report
SCI	Statewide Client Index (SCI) –Assigns unique ID numbers, called Client Index Numbers (CINs) for all clients known to ISAWS, LEADER, WDTIP, SFIS, MEDS, Healthy Families, and several public health programs.
SCM	State Contracting Manual
SCP	Substitute Care Provider
SCR	System Change Request (replaces former term of RTS)

Acronym	Definition
SDC	Service Delivery Center (IBM's facility in Boulder, Colorado)
SDD	Software Design Document
SDLC	System Development Life Cycle
SDM	Structured Decision Making
SEI	Software Engineering Institute
SFIS	Statewide Fingerprint Imaging System Electronic fingerprint image of all CalWORKs and Food Stamp applicants and clients.
SI	System Implementation
SID	Systems Integration Division (part of HHSDC)
SIDD	System Interface Design Document
SIS	SAWS Information System
SLA	Service Level Agreement
SLOC	Source Line of Code
SOC 158	Foster Child's Data Record and AFDC-FC The SOC 158 is used to inform the Eligibility Work of a minor's current placement in regards to AFDC-FC payments. The form is filled in from notebook data fields in the minor's CWS/CMS case/referral.
SOC 318	Request for Confirmation of Child's Status as Indian
SOC 815	Approval of Family Caregiver Home
SOC 817	Checklist of Health and Safety Standards for Approval of Family Caregiver Home
SOC 818	Relative or Non-Relative Extended Family Member Caregiver Assessment
SOW	Statement Of Work
SPMN	Software Project Managers Network
SPR	Special Project Report
SQL	Structured Query Language
SRS	System Requirements Specification
SRS	Software Requirements Specification
SS8572	Suspected Child Abuse Report
SSC	System Support Consultant - Members of the CWS Customer Relations Section that support the counties.
SSL	Secure Socket Layer
SSRS	Social Services Reporting System
Std. or STD	Standard
STP	Software Test Plan
SW-CMM	Software (Development) Capability Maturity Model
SyRS	System Requirements Specification
TAAA	Technical Architecture Alternatives Analysis

Acronym	Definition
TASP	Technical Architecture Strategic Plan
T&M	Time and Materials
TANF	Temporary Assistance for Needy Families
TCP/IP	Transaction Control Protocol/Internet Protocol
THPP	Transitional Housing Placement Program
TIRU	DOF's Technical Investment Review Unit
Title IV-A	Temporary Assistance to Needy Families (TANF) – part of HHS' scope of review and authority
Title IV-B	<p>See the ACF Web page regarding State grant programs at: http://www.acf.hhs.gov/programs/cb/programs/state.htm</p> <p>The Title IV-B, subpart 1, Child Welfare Services program helps State public welfare agencies improve their child welfare services with the goal of keeping families together. State services include preventive intervention, so that, if possible, children will not have to be removed from their homes; services to develop alternative placements like foster care or adoption if children cannot remain at home; and reunification so that children can return home if at all possible.</p> <p>The Title IV-B, subpart 2, Promoting Safe and Stable Families program provides funds to states to provide family support, family preservation, time-limited family reunification services, and services to promote and support adoptions. These services are primarily aimed at preventing the risk of abuse and promoting nurturing families, assisting families at risk of having a child removed from their home, promoting the timely return of a child to his/her home, and if returning home is not an option, placement of a child in a permanent setting with services that support the family. As part of this program, the Court Improvement Program provides grants to help State courts improve their handling of proceedings relating to foster care and adoption. After an initial assessment of court practices and policies, States use these funds for improvements and reform activities. Typical activities include development of mediation programs, joint agency-court training, automated docketing and case tracking, linked agency-court data systems, one judge / one family models, time-specific docketing, formalized relationships with the child welfare agency, and legislative change.</p> <p>Child Welfare Services – part of HHS' scope of review and authority</p>
Title IV-D	Child Support Enforcement – part of HHS' scope of review and authority
Title IV-E	<p>See the ACF Web page regarding State grant programs at: http://www.acf.hhs.gov/programs/cb/programs/state.htm</p> <p>The Title IV-E Foster Care program provides funds to States to assist with: the costs of foster care maintenance for eligible children; administrative costs to manage the program; and training for staff, for foster parents and for private agency staff. The purpose of the program is to help States provide proper care for children who need placement outside their homes, in a foster family home or an institution.</p>

Acronym	Definition
	<p>The Title IV-E Adoption Assistance program provides funds to States to assist in providing ongoing financial and medical assistance for adopted children (AFDC or SSI eligible) with special needs, e.g., children who are older or handicapped. Funds are also used for the administrative costs of managing the program and training staff. The goal of this program is to facilitate the placement of hard to place children in permanent adoptive homes and thus prevent long, inappropriate stays in foster care.</p> <p>Foster Care and Adoptive Services – part of HHS' scope of review and authority Title IV-E of the Social Security Act provides for federally subsidized Foster Care (FC), Adoption Assistance, and Independent Living Programs. In fiscal year 1999, the federal appropriation for Title IV-E was slightly over \$4 billion. The goal of the FC program is to help State provide for eligible children who need placement outside their homes. The Adoption Assistance Program is designed to assist State in finding permanent homes for children with special needs (e.g. children who are older, members of minority or sibling groups, or physically, mentally, or emotionally disabled) and thus prevent long stays in foster care. The goal of the Independent Living Program is to assist youths who are or will be emancipated from foster care in establishing their independence. Federal funding for AAP that provides support for Foster Care and Adoption Assistance to those children who would have been eligible for AFDC. This funding covers foster care costs associated with food, clothing, shelter, daily supervision, school supplies, a child's personal incidentals, liability insurance, administrative expenses, and travel to a child's home for visitation. It also covers the one-time payment costs of adopting a child as well as for ongoing adopted childcare needs.</p>
TOSU	Technology Oversight and Support Unit
UAT	User Acceptance Test
USC	United States Code
WAN	Wide Area Network
WBS	Work Breakdown Structure
WBT	Web Based Training
WCDS	Welfare Client Data System
WCDS	Welfare Case Data System – will eventually be replaced by CalWIN
WCMIS	Welfare Case Management Information System
WDB	Welfare DataBase. Title IV-E eligibility is maintained by this system.
WDTIP	Welfare Data Tracking Implementation Project Cumulative time-clock calculations of the Temporary Assistance for Needy Families (TANF) 60-month, CalWORKs 60-month, and Welfare-To-Work 18/24-month clocks, including exemptions and exceptions
WIA	Workforce Investment Act of 1998 – Laws governing development, procurement, maintenance and utilization of Electronic and Information Technology in a manner that provides equal access to persons with disabilities.
WIC	Welfare and Institutions Code

Appendix B – Bibliography

Appendix B – Bibliography

- Administration for Children and Families. “About SACWIS.” Available on the ACF website, <http://www.acf.hhs.gov/programs/cb/dis/SACWIS/about.htm>. October, 2003.
- Administration for Children and Families. “Action Transmittal: Automation of Child Welfare Programs. (ACF-OISM-001)” February, 1995. pgs. 20-28.
- Child Welfare Services Stakeholders Group. “CWS Redesign: The Future of California’s Child Welfare Services.” September, 2003.
- CMS Support Branch. “Children and Family Services Division Child Welfare Program Overview.” Available on the CFSD website, <http://www.childsworld.ca.gov>, July, 2002.
- Coastline Technology Consulting, Inc. “SACWIS Completion FSR – Interfaces Feasibility Study Report.” May, 2003.
- CWS/CMS. “Annual Advance Planning Document Update.” December, 2004.
- CWS/CMS. “Annual Advance Planning Document Update.” June, 2003.
- CWS/CMS. “Application Architecture v2.0.” June 2004.
- CWS/CMS. “As-Needed Annual Advance Planning Document.” 2001
- CWS/CMS. “California Department of Social Services Expanded Adoption System of the Child Welfare Services/Case Management System (Expanded Adoptions System) Feasibility Study Report.” December, 2000.
- CWS/CMS. “Child Welfare Services/Case Management System Strategic Plan.” June, 2002.
- CWS/CMS. “Child Welfare Services... Protecting Families and Children Presentation.” November, 2002.
- CWS/CMS. “Maintenance and Operations Plan for CWS/CMS.” August, 2001.
- CWS/CMS. “Pre-placement Preventative Services Emergency Response and Family Maintenance Activity Monthly Reports.” June, 2003.
- CWS/CMS. “SACWIS Completion Requirements.” November, 2004.
- CWS/CMS. “State of California’s Go-Forward Plan.” August, 2004
- CWS/CMS. “Statewide Automate Child Welfare Information Systems SACWIS Review Guide Appendix B – OMB No.:0970-0159.” September, 2004.
- CWS/CMS. “Technical Architecture Strategic Plan (TASP).” April, 2003.
- CWS/CMS. “Usage Statistics for September 2004.” Available on, <http://www.hwcws.cahwnet.gov/programres.asp>. September, 2004.
- Health and Human Services Agency Data Center. “Best Practices.” Available on the HHSDC website, <http://www.hhsdc.ca.gov>.
- Logicon, A Northrop Grumman Company. “SACWIS Functionality Analysis Report, Title IV-A Interface.” July 2001.

- Northrop Grumman IT, Inc. "Task Report – Evaluation of State SACWIS Requirements Compliance for Child Welfare Services / Case Management System (CWS/CMS)." July, 2004.
- Reed, D.F., & Karpilow, K. A. (2002, November). Understanding the Child Welfare System in California: A primer for service providers and policy makers. Berkeley, CA: California Center for Research on Women and Families, Public Heal Institute. Available on the CCRWF website, <http://www.ccrwf.org>.

Appendix C – Federal SACWIS Requirements

Appendix C – Federal SACWIS Requirements

Functions with an asterisk (*) are those that have been determined to be critical functions in meeting the minimum requirements specified in 45 CFR 1355.53(b), which should be either part of the integrated child welfare information system or support the child welfare system through an automated interface.

■ **Intake Management** – which consists of processing referrals for service, conducting an investigation, and assessing the need for service.

□ **Intake ***

- **Record contact/referral *** - The automated system must record initial contacts regarding allegations of abuse or neglect, or provide for the input of a formal referral for protective services, voluntary placement services, juvenile corrections and other services.
- **Collect intake/referral information *** - The automated system must allow for input of available situation and demographic information, including the cross-referencing of relationships among participants and the reason for referral.
- **Search for prior history (persons/incidents) *** - The automated system must provide for a search to the database(s) to check for prior incidents and other available information. For a single incident, the system must allow for more than one report of that incident by including information on each individual or agency making a report (such additional reports may or may not be counted in the total number of reports, depending on State policy).
- **Record "information only" requests** - The automated system may provide for the recording of calls or contacts which do not involve a specific allegation or referral.

□ **Screening ***

- **Evaluate intake information *** - The automated system must support the evaluation of the received information to determine the necessity of establishing a case.
- **Record the results of the screening evaluation *** - The automated system must provide for the recording of the determination resulting from the screening process.
- **Establish case record *** - The automated system must provide for the establishment of a new case, the association of a new allegation with an existing open case, or the re-opening of a closed case.
- **Assign case to worker *** - The automated system must support and record the assignment of the case to a worker and for the tracking of that case through the process.
- **Refer for investigation and/or services, as appropriate *** - The automated system must support the referral/transfer of the case for investigation, if necessary, or for assessment, if the allegation is not related to maltreatment.

❑ **Investigation ***

- **Collect and record investigation information** - The automated system may provide for the input of information collected during the investigation process, including the recording of contacts made during the investigation.
- **Record investigation decision *** - The automated system must provide for the recording of the decision resulting from the investigation.
- **Generate documents as needed in response to investigation *** - The system must support the preparation of alerts, notifications and reports required during, and as a result of, the investigative process.

❑ **Assessment ***

- **Determine and record risk assessment *** - The automated system must support the evaluation and determination of risk factors affecting the case (this may be initiated during intake or investigation).
- **Perform risk assessment** - The automated system may perform an automated risk assessment, which may use rules-based technology to determine the relative level of risk.
- **Collect and record special needs/problems *** - The automated system must assist in the determination and documentation of special needs/problems (e.g., special education, developmental disabilities, medical assessment, etc.).
- **Determine and record needed services *** - The automated system must support the determination of needed services and record those services, including the assignment and recording of the level of care (placement locations, in-home care, etc.)
- **Record client contacts** - The automated system may provide for the recording of client contacts in the electronic case folder.
- **Prepare and record referrals to other agencies** -The automated system may provide for the preparation and recording in the electronic case folder of referrals to other agencies.
- **Collect and record further case information** - The automated system may provide for the recording in the electronic case record of additional case information gathered during the assessment process.
- **Generate documents, notices and reports based on review as needed *** - The automated system must support the generation of documents, notices, and reports during, or resulting from, the assessment process.

- **Eligibility** – which consists of determining programs for which funding support is available for clients receiving services. Program Eligibility may include funding for foster care/adoption payments and determining the type of programs that will allow a client to receive Medicaid coverage. This function is usually initiated sometime during the Intake Function.

- ❑ **Initial Eligibility Determination ***
 - **Determine title IV-E eligibility *** - The automated system must provide for the exchange and referral of information necessary to determine eligibility under title IV - E through an interface with the title IV -A system.
 - **Verify eligibility for other programs *** - The automated system must provide for the exchange and referral of information necessary to determine eligibility/status under other related programs such as title XIX (Medicaid) and title IV -D.
 - **Record authorization decisions *** - The automated system must provide for the recording of the eligibility authorization decisions.
 - **Generate documents related to eligibility determinations *** - The automated system must produce the alerts, notices and reports (e.g., exception reports) needed to provide information on and track the initial eligibility determinations.
- ❑ **Changes in Eligibility ***
 - **Redeterminations *** - The automated system must provide for the processing of regularly scheduled and as needed program redeterminations and recording of redetermination decisions.
 - **Generate documents related to eligibility determinations *** - The automated system must produce the alerts, notices and reports (e.g., exception reports) needed to provide information on and track the changes in eligibility status.
- **Case Management** – which entails the preparation of service plans, determining whether the agency can provide the services, authorizing the provision of services, and managing the delivery of those services.
 - ❑ **Service/Case Plan ***
 - **Prepare and document service/case plan *** - The automated system must support case plan development by documenting the services, available in the State, that are required to meet the specific needs identified in the assessment function in such areas as:
 - » **Adoption:** record and track information about adoptive placements and post-adoptive services, including subsidy benefits
 - » **Family preservation:** institute in-home services to prevent the need for placement
 - » **Foster care:** determine and track level of care, placement information, reunification services, legal requisites
 - » **Independent living:** determine and track services to provide transitional living assistance for State foster care youths
 - » **Interstate compact:** process/submit supervision requests from/with other states for children and youth
 - **Identify and match services to meet client's case plan needs** - The system may provide automated support in the identification and matching of service needs and available resources.

- **Record contact with and acquisition of needed resources/services** - The automated system may support and record the preparation of necessary service requests or referrals.
- **Track and update service/case plan *** - The automated system must support the monitoring of the progress of plan and update of the service/case plan in the electronic case folder.
- **Match client to placement alternatives, if needed** - The system may provide automated support in the identification and matching of clients with available placement alternatives.
- **Generate documents as needed *** - The automated system must support the generation of alerts, notices, and reports as necessary to track the progress of the service/case plan.
- **Request and record supervisory approval of plan, if needed** - The automated system may provide support for obtaining supervisory approval of the service/case plan.
- **Compute estimated and track actual costs of resources/services** - The automated system may include a component which estimates and tracks the costs of required/provided resources and services to assist in service/case plan management and tracking.
- **Identify program outcome measures** - The automated system may include a component that identifies and tracks program outcome measures.
- **Case Review/Evaluation ***
 - **Generate alerts to conduct case review/evaluation as needed *** - The automated system must support the timely identification and continued tracking of cases requiring review/evaluation.
 - **Conduct and record results of case review *** - The automated system must support the case review process and provide for documentation of the reassessment decisions in the electronic case folder, including documentation of action items resulting from the reassessment.
 - **Generate documents, notices and reports based on review as needed *** - The automated system must support the generation of documents, notices, and reports during, or resulting from, the evaluation process.
 - **Record collateral contacts** - The automated system may provide for the recording of client collateral contacts and information resulting from those contacts.
- **Monitoring Service/Case Plan Services**
 - **Track and record services identified in the service/case plan** – The automated system may provide for the recording in the electronic case folder of the types, duration, and frequency of services.
 - **Generate documents, notices and reports *** - The automated system must support the generation of documents, notices, and reports to track the services needed and provided to the client.

- **Resource Management** – which focuses on the maintenance and monitoring of information on an array of service providers, including prevention programs, placement services, and foster care providers.

- **Facilities Support ***

- **Record and update provider information *** - The automated system must support the collection and maintenance of provider information such as license/certification status, types of services, level of care provided, level of care compliance and cost of care.
- **Generate alerts/action items on licensing status changes *** - The automated system must support the timely identification and continued tracking of cases and/or facilities requiring a review or other action as a result of a change in provider information.
- **Generate reconciliation and evaluation reports as needed *** - The automated system must support the generation of documents, notices, and reports, as needed.
- **Record and track provider training** - The system may be used to record and track provider training needs and training received.

- **Foster/Adoptive Homes Support ***

- **Maintain and update foster care and adoptive home information as needed *** - As appropriate to the type of home, the automated system must support the collection and maintenance of foster care and adoptive home information such as licensing decisions, violations and revocations, required AFCARS information and received training.
- **Record foster care home abuse/neglect allegations and investigation results *** - The automated system must support the identification of foster care families where allegations of abuse/neglect have been reported and substantiated, as required by State law. The automated system must support the investigation of such allegations and document the results.
- **Process foster care/adoptive home applications** - The automated system may provide for the recruitment and processing of foster care family applications.
- **Generate alerts/action items as needed if foster care license is revoked** - The automated system may support the identification and tracking of cases requiring a review or other action as a result of changing information.

- **Resource Directory**

- **Maintain directory** - The automated system **may** provide a directory/inventory of available resources and services.
- **Generate reports** - The automated system **may** support the generation of management reports, as well as other alerts, bulletins, and notices related to resource availability.

- ❑ **Contract Support**
 - **Process contracts and contract changes** - The automated system may support the creation, processing, monitoring and modification of contracts.
 - **Record contract monitoring results** - The automated system may support efforts to monitor contractual compliance.
 - **Generate alerts/action items as needed** - The automated system may support the timely identification and continued tracking of cases requiring a review or other action as a result monitoring activities.
 - **Generate documents as needed** - The automated system may support the generation of notices and reports such as reconciliation and evaluation reports during, or resulting from, the monitoring of contract support.
- **Court Processing** – which encompasses an array of legal activities and documentation procedures involving judicial events requiring action on the part of the State agency.
 - ❑ **Court Documents** – The automated system **may** provide for the preparation of State agency documents for the courts, such as petitions, letters, attorney approvals, and supervisory approvals.
 - ❑ **Notifications** – The automated system **may** provide notifications to inform relevant parties of impending court actions.
 - ❑ **Tracking** – The automated system **may** be used to monitor and track court-related events requiring State agency action, such as recording and outcomes for all petitions, trials, hearings, detention proceedings, periodic reviews, adoptions, and change of placements. Court decisions **may** be recorded in the electronic case folder.
 - ❑ **Indian Child Welfare Act** – The automated system **may** be used to support the Indian Child Welfare Act requirements.
- **Financial Management** – which tracks and manages financial transactions. It may be part of the SACWIS itself or may be an automated interface to a department or statewide financial system.
 - ❑ **Accounts Payable *** – The automated system must provide support for accounts payable to providers (billing, vouchers, etc.).
 - ❑ **Accounts Receivable *** – The automated system must provide support for accounts receivable (e.g., overpayments, trust funds, SSI, etc.).
 - ❑ **Claims *** – The automated system must provide support for the generation of provider payment and remittance advice. The automated system must support the update procedures necessary to adjust the claims process as a result of notification of status changes (including information received from title IV-A and other Federal/State programs), including termination of the case.
- **Administration** – which incorporates procedures for ensuring support for efficient management of as well as reliable and accurate operation of the system.
 - ❑ **Staff Management ***
 - **Record and update employee information *** - The system must contain records of employees, showing name, employee number and office. These records may also

contain demographic information and results of Background Criminal Investigation (BCI) checks.

- **Record and track case assignment *** - The system must provide for the assignment of cases to workers, track workload assignments and identify on-call staff.
- **Assist in workload management** - The system may support the decision-making process in the assignment of cases to workers and help workers to manage their own caseloads by providing "to do" lists and prioritization of alerts.
- **Track employee training** - The system may be used to track employee training needs and training received.
- **Document employee performance** - The system may be used to support the staff review and evaluation process.

❑ **Reporting ***

- **Produce Federal and State reports *** - The system must generate required State and Federal reports (e.g., AFCARS) in either paper or electronic formats as required.
- **Produce reports *** - The system must generate regular and ad hoc management reports (e.g., workload status, client/case status, performance factors, outcome measures, etc.)
- **Produce statistical reports *** - The system must generate statistical reports needed to assist in the analysis of the program.

❑ **Administrative Support**

- **Provide hardware and software security *** - The hardware, telecommunications network, software applications and data must be secured to protect from damage, destruction and loss, as well as fraud and abuse. Contingency plans and disaster recovery plans should be tested and readied in case of an emergency.
- **Archive and purge *** - The system must provide for purging and archiving, as needed, of inactive records and closed cases.
- **Provide office automation** - The system may provide office automation tools (e.g., word processing, ticklers, alerts, calendaring, electronic mail, system broadcast, etc.) apart and in addition to those tools available within the program functions.
- **Provide on-line system documentation** - The system may provide an on-line policy/procedures manual, user guides, and other system documentation as needed, such as field help screens.
- **Provide on-line training** - The system may provide on-line, computer-based training for system users.

- **Interfaces** – which create an electronic link between the child welfare and other systems, to receive, transmit, and verify case and client information.

❑ **Required Interfaces ***

- Title IV-A (TANF)

- Title IV-D (Child Support Enforcement)
- Title XIX (Medicaid)
- Child abuse and neglect data system
- **Optional Interfaces**
 - State Central Registry
 - Social Security Administration for title II and SSI information
 - State financial system
 - State licensing system
 - Vital Statistics
 - Court system
 - Juvenile Justice
 - Mental health/retardation
 - State Department of Education

Appendix D – Federal SACWIS Requirements Analysis Document Details

Appendix D – Federal SACWIS Requirements Analysis Document Details

California SACWIS Compliance Status As Of: November 15, 2004

The following table lists all of the Federal SACWIS Requirements. These were established by reference to the federal Action Transmittal # ACF-OISM-001, dated February 24, 1995, and also the SACWIS Review Guide (SARG) Appendix B – OMB No.:0970-0159, the “1998 Version”. These are the document sources that the State referred Eclipse Solutions to as the full set of federal SACWIS requirements.

The SARG source documentation contains the ACF review date of the State responses to the federal questionnaire, and also indicates the State opinion of SACWIS compliance status. These are all in August 1999, so the Eclipse team will conduct a status confirmation process to update the “CA Compliance Status” column to current (November 2004) compliance.

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
Intake					
1	INTAKE.1	Record contact/referral * - The automated system must record initial contacts regarding allegations of abuse or neglect, or provide for the input of a formal referral for protective services, voluntary placement services, juvenile corrections and other services.	YES	Fully Compliant	The ACF agreed with Fully Compliant
2	INTAKE.2	Collect intake/referral information * - The automated system must allow for input of available situation and demographic information, including the cross-referencing of relationships among participants and the reason for referral.	YES	Fully Compliant	The ACF agreed with Fully Compliant, however, the ACF also recommended avoidance of duplicate data entry
3	INTAKE.3	Search for prior history (persons/incidents) * - The automated system must provide for a search to the database(s) to check for prior incidents and other available information. For a single	YES	Fully Compliant	The ACF indicated that Correction is required, and stated that the Search functionality is inconsistent and

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
		incident, the system must allow for more than one report of that incident by including information on each individual or agency making a report (such additional reports may or may not be counted in the total number of reports, depending on State policy).			needs correction
4	INTAKE.4	Record "information only" requests - The automated system may provide for the recording of calls or contacts which do not involve a specific allegation or referral.	NO	Fully Compliant	The ACF agreed with Fully Compliant, however, they stated that their understanding is that the counties don't use the functionality (funding issue?)
Screening					
5	SCREENING.1	Evaluate intake information * - The automated system must support the evaluation of the received information to determine the necessity of establishing a case.	YES	Fully Compliant	The ACF agreed with Fully Compliant.
6	SCREENING.2	Record the results of the screening evaluation * - The automated system must provide for the recording of the determination resulting from the screening process.	YES	Fully Compliant	The ACF indicated that Correction is required, and stated that the duplicate data recording they discovered does not comply with SACWIS requirements.
7	SCREENING.3	Establish case record * - The automated system must provide for the establishment of a new case, the association of a new allegation with an existing open case, or the re-opening of a closed case.	YES	Fully Compliant	The ACF agreed with Fully Compliant.
8	SCREENING.4	Assign case to worker * - The automated system must support and record the assignment of the case to a worker and for the tracking of that case through the	YES	NOT Compliant (from "SACWIS requirements.doc" as of 11/01/04)	The ACF indicated that Correction is required, and stated that the function is not used uniformly Statewide. The

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
		process.			State responded with details of training modules that County personnel are given.
9	SCREENING.5	Refer for investigation and/or services, as appropriate * - The automated system must support the referral/transfer of the case for investigation, if necessary, or for assessment, if the allegation is not related to maltreatment.	YES	Fully Compliant	The ACF agrees (11/01/00) with Fully Compliant.
Investigations					
10	INVESTIGATION.1	Collect and record investigation information - The automated system may provide for the input of information collected during the investigation process, including the recording of contacts made during the investigation.	NO	Fully Compliant	The ACF agreed with Fully Compliant.
11	INVESTIGATION.2	Record investigation decision * - The automated system must provide for the recording of the decision resulting from the investigation.	YES	Fully Compliant	The ACF indicated that Correction is required, and the State (11/01/00) requested that the ACF issue be closed as the State has initiated the change.
12	INVESTIGATION.3	Generate documents as needed in response to investigation * - The system must support the preparation of alerts, notifications and reports required during, and as a result of, the investigative process.	YES	Fully Compliant	The ACF agreed with Fully Compliant.
Risk Assessment					
13	ASSESSMENT.1	Determine and record risk assessment * - The automated system must support the evaluation and determination of risk factors affecting the case (this may be initiated	YES	Fully Compliant	The ACF agrees (11/01/00) with Fully Compliant.

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
		during intake or investigation).			
14	ASSESSMENT.2	Perform risk assessment - The automated system may perform an automated risk assessment, which may use rules-based technology to determine the relative level of risk.	NO	Fully Compliant	The ACF indicated that Correction is required, and the State (11/01/00) stated that it is piloting the functionality but it is not part of the ACF or State mandated functionality.
15	ASSESSMENT.3	Collect and record special needs/problems * - The automated system must assist in the determination and documentation of special needs/problems (e.g., special education, developmental disabilities, medical assessment, etc.).	YES	Fully Compliant	The ACF indicated that Correction is required, and the State (11/01/00) stated that it has this functionality. No response from the ACF recorded.
16	ASSESSMENT.4	Determine and record needed services * - The automated system must support the determination of needed services and record those services, including the assignment and recording of the level of care (placement locations, in-home care, etc.).	YES	Fully Compliant	The ACF indicated that Correction is required, and the State (11/01/00) stated that it has this functionality. No response from the ACF recorded.
17	ASSESSMENT.5	Record client contacts - The automated system may provide for the recording of client contacts in the electronic case folder.	NO	Fully Compliant	The ACF agreed with Fully Compliant .
18	ASSESSMENT.6	Prepare and record referrals to other agencies -The automated system may provide for the preparation and recording in the electronic case folder of referrals to other agencies.	NO	NO	The State stated it has no electronic interfaces to other systems.
19	ASSESSMENT.7	Collect and record further case information - The automated system may provide for the recording in the electronic case record of additional case information gathered during the assessment process.	NO	Fully Compliant	The ACF agreed with Fully Compliant .

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
20	ASSESSMENT.8	Generate documents, notices and reports based on review as needed * - The automated system must support the generation of documents, notices, and reports during, or resulting from, the assessment process.	YES	Fully Compliant	The ACF agreed with Fully Compliant.
Eligibility Determination					
21	ELIGIBILITY.A1 (“.A” is for initial determination)	<p>Determine title IV-E eligibility * - The automated system must provide for the exchange and referral of information necessary to determine eligibility under title IV-E through an interface with the title IV-A system.</p> <p><u>A1.a</u> Determine Title IV-E Eligibility</p> <p><u>A1.b</u> How does the State use the automated system to record/track the legal requirements (judicial determination) related to Title IV-E Eligibility?</p>	YES	NOT Compliant (from “SACWIS requirements.doc” as of 11/01/04)	<p>The ACF stated that the system is Not Compliant, and documented its requirements. The State responded (02/01/00 and 11/01/00) with its plans to fulfill the ACF requirements, and the ACF approved the plan. <i>However, the planned functionality has not been implemented in the system yet, so the system is not compliant?</i></p> <p>The ACF stated that the system is Not Compliant, and documented its requirements. The State responded (02/01/00 and 11/01/00) with its plans to fulfill the ACF requirements, and the ACF approved the plan.</p>

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
		A1.c How does the automated system determine/track a child's Title IV-E eligibility in an out of home placement (e.g. type of facility, license status, etc.)?			<p><i>However, the planned functionality has not been implemented in the system yet, so the system is not compliant?</i></p> <p>The ACF stated that the system is Not Compliant, and documented its requirements. The State responded (02/01/00 and 11/01/00) with its plans to fulfill the ACF requirements, and the ACF approved the plan. <i>However, the planned functionality has not been implemented in the system yet, so the system is not compliant?</i></p>
22	ELIGIBILITY.A2	Verify eligibility for other programs * - The automated system must provide for the exchange and referral of information necessary to determine eligibility/status under other related programs such as title XIX (Medicaid) and title IV-D.	YES	NOT Compliant (from ""SACWIS requirements.doc" as of 11/01/04)	<p>The ACF stated that the system is Not Compliant, and documented its requirements. The State responded (02/01/00 and 11/01/00) with its plans to fulfill the ACF requirements, and the ACF approved the plan. <i>However, the planned functionality has not been implemented in the system yet, so the system is not compliant?</i></p>
23	ELIGIBILITY.A3	Record authorization decisions * - The automated system must provide for the recording of the eligibility authorization decisions.	YES	NOT Compliant (from ""SACWIS requirements.doc" as of 11/01/04)	<p>The ACF stated that the system is Not Compliant, and documented its requirements. The State responded (02/01/00 and 11/01/00) with its plans to</p>

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
					fulfill the ACF requirements, and the ACF approved the plan. <i>However, the planned functionality has not been implemented in the system yet, so the system is not compliant?</i>
24	ELIGIBILITY.A4	Generate documents related to eligibility determinations * - The automated system must produce the alerts, notices and reports (e.g., exception reports) needed to provide information on and track the initial eligibility determinations.	YES	Fully Compliant	The ACF agreed with Fully Compliant.
25	ELIGIBILITY.B1 (“.B” is for changes in eligibility)	Redeterminations * - The automated system must provide for the processing of regularly scheduled and as needed program redeterminations and recording of redetermination decisions.	YES	NOT Compliant (from “SACWIS” requirements.doc” as of 11/01/04)	The ACF stated that the system is Not Compliant , and documented its requirements. The State responded (02/01/00 and 11/01/00) with its plans to fulfill the ACF requirements, and the ACF approved the plan. <i>However, the planned functionality has not been implemented in the system yet, so the system is not compliant?</i>
26	ELIGIBILITY.B2	Generate documents related to eligibility determinations * - The automated system must produce the alerts, notices and reports (e.g., exception reports) needed to provide information on and track the changes in eligibility status.	YES	Fully Compliant	The ACF agreed with Fully Compliant.
Case Management					
27	CASEMGMENT.A1 (“.A” is for	Prepare and document service/case plan * - The automated system must support case	YES	NOT Compliant (from “SACWIS”	The ACF stated that the system is Not Compliant , and

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
	<i>Service/Case Plan)</i>	plan development by documenting the services, available in the State, that are required to meet the specific needs identified in the assessment function in such areas as: adoption: record and track information about adoptive placements and post-adoptive services, including subsidy benefits family preservation: institute in-home services to prevent the need for placement foster care: determine and track level of care, placement information, reunification services, legal requisites independent living: determine and track services to provide transitional living assistance for State foster care youths interstate compact: process/submit supervision requests from/with other states for children and youth		requirements.doc" as of 11/01/04)	documented its requirements. The State responded (02/01/00 and 11/01/00) with its plans to fulfill the ACF requirements, and the ACF approved the plan. <i>However, the planned functionality has not been implemented in the system yet, so the system is not compliant?</i>
28	CASEMGMENT.A2	Identify and match services to meet client's case plan needs - The system may provide automated support in the identification and matching of service needs and available resources.	NO	Fully Compliant	The ACF stated that the system is Not Compliant , and documented its requirements. The State responded (02/01/00 and 11/01/00) with its plans to fulfill the ACF requirements, and the ACF approved the plan. <i>However, the planned functionality has not been implemented in the system yet, so the system is not compliant?</i>
29	CASEMGMENT.A3	Record contact with and acquisition of needed resources/services - The automated system may support and record the preparation of necessary service	NO	Fully Compliant	The ACF stated that the system is Not Compliant , and documented its requirements. The State responded (02/01/00

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
		requests or referrals.			and 11/01/00) with its plans to fulfill the ACF requirements, and the ACF approved the plan. <i>However, the planned functionality has not been implemented in the system yet, so the system is not compliant?</i>
30	CASEMGMENT.A4	Track and update service/case plan * - The automated system must support the monitoring of the progress of plan and update of the service/case plan in the electronic case folder.	YES	Fully Compliant	The ACF agreed with Fully Compliant.
31	CASEMGMENT.A5	Match client to placement alternatives, if needed - The system may provide automated support in the identification and matching of clients with available placement alternatives.	NO	Fully Compliant	The ACF agreed with Fully Compliant.
32	CASEMGMENT.A6	Generate documents as needed * - The automated system must support the generation of alerts, notices, and reports as necessary to track the progress of the service/case plan.	YES	Fully Compliant	The ACF agreed with Fully Compliant.
33	CASEMGMENT.A7	Request and record supervisory approval of plan, if needed - The automated system may provide support for obtaining supervisory approval of the service/case plan	NO	Fully Compliant	The ACF agreed with Fully Compliant.
34	CASEMGMENT.A8	Compute estimated and track actual costs of resources/services - The automated system may include a component which estimates and tracks the costs of required/provided resources and services to	NO	Fully Compliant	The ACF stated that the system is Not Compliant , and documented its requirements. The State responded (02/01/00 and 11/01/00) with its plans to

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
		assist in service/case plan management and tracking.			NOT select this option for automation.
35	CASEMGMNT.A9	Identify program outcome measures - The automated system may include a component which identifies and tracks program outcome measures.	NO	Fully Compliant	The ACF stated that this item was "N/A".
36	CASEMGMNT.B1 (<i>"B" is for Case Review/Evaluation</i>)	Generate alerts to conduct case review/evaluation as needed * - The automated system must support the timely identification and continued tracking of cases requiring review/evaluation.	YES	Fully Compliant	The ACF indicated that Correction is required, and asked the State for clarification of its processes, which the State provided (02/01/00 and 11/01/00).
37	CASEMGMNT.B2	Conduct and record results of case review * - The automated system must support the case review process and provide for documentation of the reassessment decisions in the electronic case folder, including documentation of action items resulting from the reassessment.	YES	Fully Compliant	The ACF indicated that Correction is required, and asked the State for clarification of its processes, which the State provided (02/01/00 and 11/01/00).
38	CASEMGMNT.B3	Generate documents, notices and reports based on review as needed * - The automated system must support the generation of documents, notices, and reports during, or resulting from, the evaluation process.	YES	NOT Compliant (from "SACWIS" requirements.doc" as of 11/01/04)	The ACF indicated that Correction is required, and asked the State for clarification of its processes, which the State provided (02/01/00 and 11/01/00).
39	CASEMGMNT.B4	Record collateral contacts - The automated system may provide for the recording of client collateral contacts and information resulting from those contacts.	NO	Fully Compliant	The ACF agreed with Fully Compliant .
40	CASEMGMNT.C1 (<i>"C" is for Monitoring</i>)	Track and record services identified in the service/case plan - The automated system may provide for the recording in the	NO	Fully Compliant	The ACF agreed with Fully Compliant .

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
	<i>Service/Case Plan Services)</i>	electronic case folder of the types, duration, and frequency of services.			
41	CASEMGMNT.C2	Generate documents, notices and reports * - The automated system must support the generation of documents, notices, and reports to track the services needed and provided to the client.	YES	NOT Compliant (from "SACWIS requirements.doc" as of 11/01/04)	The ACF indicated that Correction is required, and the State responded (02/01/00 and 11/01/00). <i>There is no subsequent ACF determination documented.</i>
Resource Management					
42	RESRCMGMNT.A1 (<i>"A" is for Facilities Support</i>)	Record and update provider information * - The automated system must support the collection and maintenance of provider information such as license/certification status, types of services, level of care provided, level of care compliance and cost of care.	YES	Fully Compliant	The ACF agreed with Fully Compliant .
43	RESRCMGMNT.A2	Generate alerts/action items on licensing status changes * - The automated system must support the timely identification and continued tracking of cases and/or facilities requiring a review or other action as a result of a change in provider information.	YES	Fully Compliant	The ACF agreed with Fully Compliant
44	RESRCMGMNT.A3	Generate reconciliation and evaluation reports as needed * - The automated system must support the generation of documents, notices, and reports, as needed.	YES	Fully Compliant	The ACF agreed with Fully Compliant
45	RESRCMGMNT.A4	Record and track provider training - The system may be used to record and track provider training needs and training received.	NO	Fully Compliant	The ACF agreed with Fully Compliant
46	RESRCMGMNT.B1	Maintain and update foster care and adoptive home information as needed * -	YES	Fully Compliant	The ACF indicated that Correction is required, and the

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
	(“.B” is for Foster/Adoptive Homes Support)	As appropriate to the type of home, the automated system must support the collection and maintenance of foster care and adoptive home information such as licensing decisions, violations and revocations, required AFCARS information and received training.			State responded (02/01/00 and 11/01/00). <i>There is no subsequent ACF determination documented.</i>
47	RESRCMGMNT.B2	Record foster care home abuse/neglect allegations and investigation results * - The automated system must support the identification of foster care families where allegations of abuse/neglect have been reported and substantiated, as required by State law. The automated system must support the investigation of such allegations and document the results.	YES	Fully Compliant	The ACF stated that the system is Not Compliant , and documented its requirements. The State responded (02/01/00 and 11/01/00).
48	RESRCMGMNT.B3	Process foster care/adoptive home applications - The automated system may provide for the recruitment and processing of foster care family applications.	NO	Fully Compliant	The ACF stated that this item was “N/A”.
49	RESRCMGMNT.B4	Generate alerts/action items as needed if foster care license is revoked - The automated system may support the identification and tracking of cases requiring a review or other action as a result of changing information.	NO	Fully Compliant	The ACF agreed with Fully Compliant
50	RESRCMGMNT.C1 (“.C” is for Resource Directory)	Maintain directory - The automated system may provide a directory/inventory of available resources and services.	NO	Fully Compliant	The ACF agreed with Fully Compliant
51	RESRCMGMNT.C2	Generate reports - The automated system may support the generation of management	NO	Fully Compliant	The ACF agreed with Fully Compliant

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
		reports, as well as other alerts, bulletins, and notices related to resource availability.			
52	RESRCMGMNT.D1 (“.D” is for Contract Support)	Process contracts and contract changes - The automated system may support the creation, processing, monitoring and modification of contracts.	NO	NO	The ACF stated that this item was “N/A”.
53	RESRCMGMNT.D2	Record contract monitoring results - The automated system may support efforts to monitor contractual compliance.	NO	NO	The ACF stated that this item was “N/A”.
54	RESRCMGMNT.D3	Generate alerts/action items as needed - The automated system may support the timely identification and continued tracking of cases requiring a review or other action as a result monitoring activities.	NO	Fully Compliant	The ACF agrees with Fully Compliant after State’s 02/01/00 response.
55	RESRCMGMNT.D4	Generate documents as needed - The automated system may support the generation of notices and reports such as reconciliation and evaluation reports during, or resulting from, the monitoring of contract support.	NO	NO	The ACF stated that this item was “N/A”.
Court Proceedings					
56	COURTPROC.A	COURT DOCUMENTS - The automated system may provide for the preparation of State agency documents for the courts, such as petitions, letters, attorney approvals, and supervisory approvals.	NO	Fully Compliant	The ACF agreed with Fully Compliant
57	COURTPROC.B	NOTIFICATIONS - The automated system may provide notifications to inform relevant parties of impending court actions.	NO	Fully Compliant	The ACF agreed with Fully Compliant
58	COURTPROC.C	TRACKING - The automated system may be used to monitor and track court-related	NO	Fully Compliant	The ACF agreed with Fully Compliant

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
		events requiring State agency action, such as recording and outcomes for all petitions, trials, hearings, detention proceedings, periodic reviews, adoptions, and change of placements. Court decisions may be recorded in the electronic case folder.			
59	COURTPROC.D	INDIAN CHILD WELFARE ACT - The automated system may be used to support the Indian Child Welfare Act requirements.	NO	Fully Compliant	The ACF agreed with Fully Compliant
Financial Management					
60	FINMGMENT.A	ACCOUNTS PAYABLE * - The automated system must provide support for accounts payable to providers (billing, vouchers, etc.).	YES	NOT Compliant (from "SACWIS requirements.doc" as of 11/01/04) LA only	The ACF stated that the system is Not Compliant , and documented its requirements. The State responded (02/01/00 and 11/01/00). <i>There is no subsequent ACF determination documented.</i>
61	FINMGMENT.B	ACCOUNTS RECEIVABLE * - The automated system must provide support for accounts receivable (e.g., overpayments, trust funds, SSI, etc.).	YES	NOT Compliant (from "SACWIS requirements.doc" as of 11/01/04)	The ACF stated that the system is Not Compliant , and documented its requirements. The State responded (02/01/00 and 11/01/00). <i>There is no subsequent ACF determination documented.</i>
62	FINMGMENT.C	CLAIMS * - The automated system must provide support for the generation of provider payment and remittance advice. The automated system must support the update procedures necessary to adjust the claims process as a result of notification of status changes (including information received from title IV-A and other	YES	NOT Compliant (from "SACWIS requirements.doc" as of 11/01/04)	The ACF stated that the system is Not Compliant , and documented its requirements. The State responded (02/01/00 and 11/01/00). <i>There is no subsequent ACF determination documented.</i>

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
		Federal/State programs), including termination of the case.			
Administration					
63	ADMIN.A1 (<i>"A" is for Staff Management</i>)	<p>Record and update employee information * - The system must contain records of employees, showing name, employee number and office. These records may also contain demographic information and results of Background Criminal Investigation (BCI) checks.</p> <p><u>A1.a</u> Record and update employee information – does system contain records of employees showing name, employee number, and office?</p> <p><u>A1.b</u> Record and update employee information – do records of employees contain demographic information and results of background criminal checks?</p>	YES	<p>Fully Compliant</p> <p>Fully Compliant</p> <p>Fully Compliant</p>	<p>The ACF agreed with Fully Compliant</p> <p>The ACF agreed with Fully Compliant</p> <p>The ACF stated that this item was "N/A".</p>
64	ADMIN.A2	Record and track case assignment * - The system must provide for the assignment of cases to workers, track workload assignments and identify on-call staff.	YES	Fully Compliant	The ACF indicated that Correction is required, and the State responded (02/01/00 and 11/01/00). <i>There is no subsequent ACF determination documented.</i>
65	ADMIN.A3	Assist in workload management - The system may support the decision-making process in the assignment of cases to workers and help workers to manage their own caseloads by providing "to do" lists and	NO	Fully Compliant	The ACF agreed with Fully Compliant

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
		prioritization of alerts.			
66	ADMIN.A4	Track employee training - The system may be used to track employee training needs and training received.	NO	NO	The ACF stated that this item was "N/A".
67	ADMIN.A5	Document employee performance - The system may be used to support the staff review and evaluation process.	NO	NO	The ACF stated that this item was "N/A".
68	ADMIN.B1 (<i>"B" is for Reporting</i>)	<p>Produce Federal and State reports * - The system must generate required State and Federal reports (e.g., AFCARS) in either paper or electronic formats as required.</p> <p><u>B1.a</u> Produce AFCARS Report</p> <p><u>B1.b</u> Produce other Federal Reports</p>	YES	<p>Fully Compliant</p> <p>NO</p>	<p>The ACF indicated that Correction is required, and the State responded (02/01/00 and 11/01/00). <i>There is no subsequent ACF determination documented.</i></p> <p>The ACF stated that the system is Not Compliant, and documented its requirements. The State responded (02/01/00 and 11/01/00). <i>There is no subsequent ACF determination documented.</i></p>
69	ADMIN.B2	Produce reports * - The system must generate regular and ad hoc management reports (e.g., workload status, client/case status, performance factors, outcome measures, etc.)	YES	Fully Compliant	The ACF agreed with Fully Compliant

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
70	ADMIN.B3	Produce statistical reports * - The system must generate statistical reports needed to assist in the analysis of the program	YES	Fully Compliant	The ACF agreed with Fully Compliant
71	ADMIN.C1 (“.C” is for Administrative Support)	<p>Provide hardware and software security * - The hardware, telecommunications network, software applications and data must be secured to protect from damage, destruction and loss, as well as fraud and abuse. Contingency plans and disaster recovery plans should be tested and readied in case of an emergency.</p> <p><u>C1.a</u> Describe how the State has secured the system hardware, telecommunications network, software applications and data to protect those resources from damage, destruction and loss, as well as fraud and abuse.</p> <p><u>C.1.b</u> Describe how the system satisfies the confidentiality requirements granted under Section 781(a)(8) of the Social Security Act and (if child abuse and neglect information is captured in the system) Section 106(b)(2)(A)(v) of the Child Abuse Prevention and Treatment Act.</p> <p><u>C.1.c</u> Are contingency plans and disaster recovery plans available in case of an emergency and are they tested?</p>	YES	NOT Compliant (from “SACWIS requirements.doc” as of 11/01/04)	<p>The ACF indicated that Correction is required, and the State responded (02/01/00 and 11/01/00). <i>There is no subsequent ACF determination documented.</i></p> <p>The ACF agreed with Fully Compliant</p> <p>The ACF stated that the system is Not Compliant, and documented its requirements. The State responded (02/01/00</p>

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
					and 11/01/00). <i>The ACF approved the State responses.</i>
72	ADMIN.C2	Archive and purge * - The system must provide for purging and archiving, as needed, of inactive records and closed cases.	YES	Fully Compliant	The ACF agreed with Fully Compliant
73	ADMIN.C3	Provide office automation - The system may provide office automation tools (e.g., word processing, ticklers, alerts, calendaring, electronic mail, system broadcast, etc.) apart and in addition to those tools available within the program functions.	NO	Fully Compliant	The ACF agreed with Fully Compliant
74	ADMIN.C4	Provide on-line system documentation - The system may provide an on-line policy/procedures manual, user guides, and other system documentation as needed, such as field help screens.	NO	Fully Compliant	The ACF agreed with Fully Compliant
75	ADMIN.C5	Provide on-line training - The system may provide on-line, computer-based training for system users.	NO	Fully Compliant	The ACF agreed with Fully Compliant
Interfaces					
76	INTERFACE.A1 (<i>“A” is for Required Interfaces</i>)	Title IV-A (TANF)	YES	NOT Compliant (from “SACWIS requirements.doc” as of 11/01/04)	The ACF stated that the system is Not Compliant , and documented its requirements. The State responded (02/01/00 and 11/01/00) with its plans to fulfill the ACF requirements, and the ACF approved the plan. <i>However, the planned functionality has not been implemented in the system yet, so the system is not compliant?</i>

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
77	INTERFACE.A2	Title IV-D (Child Support Enforcement)	YES	NOT Compliant (from "SACWIS requirements.doc" as of 11/01/04)	The ACF stated that the system is Not Compliant , and documented its requirements. The State responded (02/01/00 and 11/01/00) with its plans to fulfill the ACF requirements, and the ACF approved the plan. <i>However, the planned functionality has not been implemented in the system yet, so the system is not compliant?</i>
78	INTERFACE.A3	Title XIX (Medicaid)	YES	NOT Compliant (from "SACWIS requirements.doc" as of 11/01/04)	The ACF stated that the system is Not Compliant , and documented its requirements. The State responded (02/01/00 and 11/01/00) with its plans to fulfill the ACF requirements, and the ACF approved the plan. <i>However, the planned functionality has not been implemented in the system yet, so the system is not compliant?</i>
79	INTERFACE.A4	Child abuse and neglect data system	YES	NOT Compliant (from "SACWIS requirements.doc" as of 11/01/04)	The ACF stated that the system is Compliant! This needs research!
80	INTERFACE.B1 (<i>“.B” is for Optional Interfaces</i>)	State Central Registry	NO	YES	The ACF agreed with Compliant
81	INTERFACE.B2	Social Security Administration for title II and SSI information	NO	NO	
82	INTERFACE.B3	State financial system	NO	NO	

CWS/CMS Baseline Analysis

Seq. #	Requirement Id	Requirement Description	Mandatory (Yes/No)	CA Opinion of Compliance Status	Status Confirmation and Comments
83	INTERFACE.B4	State licensing system	NO	YES	The ACF agreed with Compliant . LIS and Fingerprint
84	INTERFACE.B5	Vital Statistics	NO	NO	
85	INTERFACE.B6	Court system	NO	YES	The ACF agreed with Compliant . JJIS or JNET
86	INTERFACE.B7	Juvenile Justice	NO	NO	
87	INTERFACE.B8	Mental health/retardation	NO	NO	
88	INTERFACE.B8	State Department of Education	NO	NO	

Appendix E – Interview Schedule

Appendix E – HHSDC CWS/CMS TAAA Meeting List

Interview Type	WBS Reference	Interviewee(s)	Type	Work Plan Date Range	Scheduled Date / Time	Location	Team	Status
Project Kick-off Meeting	1.4.1	<ul style="list-style-type: none"> Lauren Barton CWS/CMS CWS/CMS staff 		12/2/04	12/02/04 9:00 – 10:00	Conf 3	<ul style="list-style-type: none"> All Team Members 	Done
BASELINE FUNCTIONAL (2-3)								
Business Strategy / Ops	2.1.1.3	<ul style="list-style-type: none"> Kathy Curtis CWS/CMS 	S	11/22/04 to 11/24/04	11/23/04 10:00–11:00	Conf A	<ul style="list-style-type: none"> Jim Brown Janice Walker Wendy Battermann Christine Wilson 	Done
Business Strategy / Ops	2.1.1.3	<ul style="list-style-type: none"> Lauren Barton CWS/CMS 	S	11/22/04 to 11/24/04	11/22/04 3:00 – 4:00	Lauren's Office	<ul style="list-style-type: none"> Jim Brown Janice Walker Brett Rugroden 	Done
Business Strategy / Ops	2.1.1.3	CDSS Management <ul style="list-style-type: none"> Wes Beers Pat Aguiar Glenn Freitas Melissa Gamer Tom Burke 	S	11/22/04 to 11/24/04	11/22/04 1:00 – 2:30	744 P St Rm 1441	<ul style="list-style-type: none"> Janice Walker Christine Wilson Cheryl Hofmann Jeff Hellzen Hamid Nouri Wendy Battermann 	Done
Business Strategy / Ops	2.1.1.3	<ul style="list-style-type: none"> Bruce Wagstaff CDSS 	S	11/22/04 to 11/24/04	12/02/04 5:00 – 6:00	744 P St Rm 1716	<ul style="list-style-type: none"> Jim Brown Brett Rugroden Christine Wilson 	Done
Business Strategy / Ops	2.1.1.3	<ul style="list-style-type: none"> Catherine Mori IBM 	S	11/22/04 to 11/24/04	TBD	TBD	<ul style="list-style-type: none"> Jim Brown Brett Rugroden 	
Business Strategy / Ops	2.1.1.3	<ul style="list-style-type: none"> Feds – TBD 	F	11/22/04 to 11/24/04	TBD	TBD	<ul style="list-style-type: none"> Jim Brown 	

CWS/CMS Baseline Analysis

Interview Type	WBS Reference	Interviewee(s)	Type	Work Plan Date Range	Scheduled Date / Time	Location	Team	Status
Business Strategy / Ops	2.1.1.3	<ul style="list-style-type: none"> LA County – TBD 	C	11/22/04 to 11/24/04	12/15/04 10:00 – 3:00	LA	<ul style="list-style-type: none"> Jeff Hellzen Janice Walker Christine Wilson Hamid or Magnus 	Done
Business Strategy / Ops	2.1.1.3	<ul style="list-style-type: none"> San Mateo County – TBD 	C	11/22/04 to 11/24/04	12/14/04 1:00	San Mateo	<ul style="list-style-type: none"> Cheryl Hofmann Eugene Martinez 	Scheduled
Business Strategy / Ops	2.1.1.3	<ul style="list-style-type: none"> Colusa or Glenn County – TBD 	C	11/22/04 to 11/24/04	12/20/04 9:00 – 12:00	Colusa	<ul style="list-style-type: none"> Cheryl Hofmann Eugene Martinez 	Scheduled
Business Strategy / Ops	2.1.1.3	<ul style="list-style-type: none"> Chris Dunham 	S	11/22/04 to 11/24/04	12/16/04 8:00 – 9:00	Chris Dunham's Office	<ul style="list-style-type: none"> Matt Brazier Jim Brown 	Done
Baseline Functional Focus Group (2-3 groups)								
Baseline Functional	2.1.1.4	<ul style="list-style-type: none"> Dick O'Niel CWS/CMS Meg Sheldon CWS/CMS 	C C	11/15/04 to 11/18/04	11/15/04 1:00 – 2:30	Rich Radden's Office	<ul style="list-style-type: none"> Cheryl Hofmann Janice Walker 	Done
Baseline Functional	2.1.1.4	<ul style="list-style-type: none"> Melissa Gamer CDSS 	S	11/15/04 to 11/18/04	11/17/04 4:00 – 5:30	CDSS	<ul style="list-style-type: none"> Janice Walker Cheryl Hofmann Wendy Battermann Christine Wilson 	Done
Baseline Functional	2.1.1.4	<ul style="list-style-type: none"> Neola Leipus CWS/CMS 	S	11/15/04 to 11/18/04	11/16/04 1:00 – 2:30	Neola's Office	<ul style="list-style-type: none"> Janice Walker Cheryl Hofmann 	Done
Baseline Functional	2.1.1.4	<ul style="list-style-type: none"> Judi Boring CDSS 	S	11/15/04 to 11/18/04	11/19/04 8:30 – 10:00	CDSS	<ul style="list-style-type: none"> Cheryl Hofmann Janice Walker 	Done
Baseline Functional	2.1.1.4	<ul style="list-style-type: none"> Penny Liles CWS/CMS 	S	11/15/04 to 11/18/04	11/19/04 10:00–11:00	Penny's Office	<ul style="list-style-type: none"> Cheryl Hofmann Janice Walker 	Done

CWS/CMS Baseline Analysis

Interview Type	WBS Reference	Interviewee(s)	Type	Work Plan Date Range	Scheduled Date / Time	Location	Team	Status
Baseline Functional	2.1.1.4	<ul style="list-style-type: none"> Sacramento District Office 	S	11/15/04 to 11/18/04	11/22/04 8:00 – 9:30	Sac District Office	<ul style="list-style-type: none"> Cheryl Hofmann Janice Walker Christine Wilson 	Done
Baseline Functional	2.1.1.4	<ul style="list-style-type: none"> Thomas Graham CDSS Pam Ward CDSS Tom Burke CDSS 	S	11/15/04 to 11/18/04	11/29/04 10:30–11:30	CDSS	<ul style="list-style-type: none"> Janice Walker Cheryl Hofmann Christine Wilson 	Done
Baseline Functional	2.1.1.4	<ul style="list-style-type: none"> Meg Sheldon County Representatives CWS/CMS Staff 	C	11/15/04 to 11/18/04	12/01/04 9:00 – 12:00	Conf A	<ul style="list-style-type: none"> Janice Walker Cheryl Hofmann Christine Wilson 	Done
Baseline Functional	2.1.1.4	<ul style="list-style-type: none"> Oversight Steering Committee 	S/C	11/15/04 to 11/18/04	12/08/04 9:00 – 3:00	Conf A	<ul style="list-style-type: none"> Jim Brown Janice Walker Cheryl Hofmann Wendy Battermann Christine Wilson 	Done
Baseline Functional	2.1.1.4	<ul style="list-style-type: none"> Debbie Thomas 	C	11/15/04 to 11/18/04	12/09/04	Yolo	<ul style="list-style-type: none"> Janice Walker Cheryl Hofmann 	Done
Technology Validation Workshop (1)								
Baseline Technical	2.1.2.2	<ul style="list-style-type: none"> Dick O’Niel CWS/CMS 	C	11/22/04 to 11/24/04	11/16/04 12:30 – 3:00	Rich Radden’s Office	<ul style="list-style-type: none"> Christine Wilson Tim Shepich Hamid Nouri Eugene Martinez 	Done
Baseline Technical	2.1.2.2	<ul style="list-style-type: none"> Jeff Lewis CWS/CMS 	S	11/22/04 to 11/24/04	11/16/04 1:00 – 3:00	Jeff’s Office	<ul style="list-style-type: none"> Hamid Nouri Eugene Martinez Christine Wilson Tim Shepich 	Done
Baseline Technical	2.1.2.2	<ul style="list-style-type: none"> Fred Guice CWS/CMS 	S	11/22/04 to 11/24/04	11/16/04	Rich Radden’s Office	<ul style="list-style-type: none"> Hamid Nouri 	Done
Baseline Technical	2.1.2.2	<ul style="list-style-type: none"> Bob Barker CWS/CMS 	S	11/22/04 to 11/24/04	11/16/04	Bob’s Office	<ul style="list-style-type: none"> Hamid Nouri 	Done

CWS/CMS Baseline Analysis

Interview Type	WBS Reference	Interviewee(s)	Type	Work Plan Date Range	Scheduled Date / Time	Location	Team	Status
Baseline Technical	2.1.2.2	<ul style="list-style-type: none"> Craig Horox Independent 		11/22/04 to 11/24/04	11/22/04	Rich Radden's Office	<ul style="list-style-type: none"> Hamid Nouri Eugene Martinez Magnus Karlsson Jeff Hellzen 	Done
Baseline Technical	2.1.2.2	<ul style="list-style-type: none"> Subarrao Mupparaju IBM 		11/22/04 to 11/24/04	12/03/04	Conf B	<ul style="list-style-type: none"> Hamid Nouri Eugene Martinez Magnus Karlsson Jeff Hellzen 	Done
Baseline Technical	2.1.2.2	<ul style="list-style-type: none"> Frank Petrus The Center 		11/22/04 to 11/24/04	11/23/04 3:00 – 4:00	Conf 3	<ul style="list-style-type: none"> All Team Members 	Done
Baseline Technical	2.1.2.2	<ul style="list-style-type: none"> Cal Rogers HHSDC 	S	11/22/04 to 11/24/04	12/2/04 3:00 – 4:00	744 P St. Rm 1773	<ul style="list-style-type: none"> Jim Brown Brett Rugroden Jeff Hellzen 	Done
Baseline Technical	2.1.2.2	<ul style="list-style-type: none"> Debra Mack HHSDC Ben Ampong HHSDC 	S	11/22/04 to 11/24/04	11/29/04 10:00–11:00	Room A	<ul style="list-style-type: none"> Hamid Nouri Eugene Martinez Magnus Karlsson Jeff Hellzen 	Done

CWS/CMS Baseline Analysis

Interview Type	WBS Reference	Interviewee(s)	Type	Work Plan Date Range	Scheduled Date / Time	Location	Team	Status
Baseline Technical	2.1.2.2	<ul style="list-style-type: none"> John McCready Jerry Cox Cynthia Hayden Ben Ampong Robert Barker Jeff Lewis Lauren Barton 	S	11/22/04 to 11/24/04	11/24/04 9:00 – 12:00	Conf 3	<ul style="list-style-type: none"> Hamid Nouri Eugene Martinez Magnus Karlsson Jeff Hellzen Jim Brown 	Done
Baseline Technical	2.1.2.2	<ul style="list-style-type: none"> John Zimmerman SPR 		11/22/04 to 11/24/04	TBD	TBD	<ul style="list-style-type: none"> Hamid Nouri Eugene Martinez Magnus Karlsson Jeff Hellzen Wendy Battermann 	
Baseline Technical	2.1.2.2	<ul style="list-style-type: none"> Frank Petrus The Center John Zimmerman SPR 		11/22/04 to 11/24/04	12/8 – 12/10 TBD	TBD	<ul style="list-style-type: none"> Hamid Nouri Eugene Martinez Magnus Karlsson Jeff Hellzen Jim Brown 	
Financial Baseline (1-2 interviews)								
IT Financial	2.1.3.2	<ul style="list-style-type: none"> Julie Murata CWS/CMS Kathy Curtis CWS/CMS 	S	11/15/04 to 11/18/04	11/23/04 3:00 – 4:00	Conf A	<ul style="list-style-type: none"> Hamid Nouri Magnus Karlsson Eugene Martinez Jeff Hellzen Wendy Battermann 	Done
IT Financial	2.1.3.2	<ul style="list-style-type: none"> Jeff Lewis CWS/CMS 	S	11/15/04 to 11/18/04	11/16/04 1:00 – 3:00	Jeff's Office	<ul style="list-style-type: none"> Hamid Nouri Eugene Martinez Christine Wilson Tim Shepich 	Done
IT Financial	2.1.1.4	<ul style="list-style-type: none"> Tom Burke CDSS Margie Chan CDSS James Cortez CDSS 	S	11/15/04 to 11/18/04	11/29/04 3:00 – 4:00	CDSS	<ul style="list-style-type: none"> Janice Walker Christine Wilson 	Done
IT Financial	2.1.3.2	<ul style="list-style-type: none"> Trisha Edgerton 	S	11/15/04 to	12/16/04 8	3835 N	<ul style="list-style-type: none"> Brett Rugroden 	Done

CWS/CMS Baseline Analysis

Interview Type	WBS Reference	Interviewee(s)	Type	Work Plan Date Range	Scheduled Date / Time	Location	Team	Status
				11/18/04	8:00–9:30	Freeway Blvd (by flag poles)	<ul style="list-style-type: none"> • Magnus Karlsson • Jeff Hellzen • Christine Wilson • Janice Walker • Wendy Battermann 	
IT Financial	2.1.3.2	<ul style="list-style-type: none"> • James Cortez 	S	11/15/04 to 11/18/04	12/13/04 9:00 – 10:00	744 P St	<ul style="list-style-type: none"> • Janice Walker • Wendy Battermann 	Done
IT Financial	2.1.3.2	<ul style="list-style-type: none"> • Feds – TBD 	F	11/15/04 to 11/18/04	TBD	TBD	<ul style="list-style-type: none"> • Jim Brown • Wendy Battermann 	
IT Financial	2.1.3.2	<ul style="list-style-type: none"> • Julie Murata CWS/CMS • Kathy Curtis CWS/CMS 	S	11/15/04 to 11/18/04	12/15/04 8:00 – 9:00	Conf A	<ul style="list-style-type: none"> • Hamid Nouri • Magnus Karlsson • Eugene Martinez • Jeff Hellzen • Wendy Battermann • Janice Walker 	Done
Methodology, Framework, and Documents (1 each)								
TAAA Methodology	2.2.2	<ul style="list-style-type: none"> • Lauren Barton CWS/CMS • CWS/CMS staff 	S	11/10/04 to 11/21/04	11/24/04		<ul style="list-style-type: none"> • Jim Brown • Brett Rugroden 	Done
TAAA Outline Walkthrough (p/o Kick-off Meeting)	2.3.2	<ul style="list-style-type: none"> • Lauren Barton CWS/CMS • CWS/CMS staff 	S	12/02/04	12/02/04		<ul style="list-style-type: none"> • Jim Brown • Brett Rugroden 	Done
TAAA Evaluation Framework & Business Validation Workshop	2.2.6.3	<ul style="list-style-type: none"> • Steering Committee CWS/CMS 		12/14/04	12/17/04 8:30 – 11:00	744 P St Rm 1851?	<ul style="list-style-type: none"> • Jim Brown • Janice Walker • Jeff Hellzen • Cheryl Hofmann • Brett Rugroden • Christine Wilson • Hamid Nouri • Magnus Karlsson 	Scheduled

CWS/CMS Baseline Analysis

Interview Type	WBS Reference	Interviewee(s)	Type	Work Plan Date Range	Scheduled Date / Time	Location	Team	Status
Business Alternatives Analysis Meetings (6-8 groups)								
Alt 1: Functional Focus Group (Non-SACWIS)	2.4.1.2	<ul style="list-style-type: none"> • Jeff Lewis CWS/CMS • Lauren Barton CWS/CMS • Meg Sheldon CWS/CMS • CWS/CMS Staff 	S	12/6/04 to 12/20/04	TBD	TBD	<ul style="list-style-type: none"> • Jim Brown • Brett Rugroden • Janice Walker • Cheryl Hofmann • Christine Wilson 	
Technical Alternatives Analysis Meetings (2-day workshops – 1 each)								
Alt 1: Technical Focus Group	2.4.2.2	<ul style="list-style-type: none"> ■ Jeff Lewis CWS/CMS ■ Lauren Barton CWS/CMS ■ Meg Sheldon CWS/CMS ■ CWS/CMS Staff 	S	12/15/04 to 12/16/04	12/20/04 2:00 – 5:00	Conf #3	<ul style="list-style-type: none"> • Jim Brown • Hamid Nouri • Eugene Martinez • Magnus Karlsson • Jeff Hellzen 	Tentative
Alt 2: Technical Focus Group	2.5.2.2	<ul style="list-style-type: none"> ■ Jeff Lewis CWS/CMS ■ Lauren Barton CWS/CMS ■ Meg Sheldon CWS/CMS ■ CWS/CMS Staff 	S	12/21/04 to 12/22/04	12/21/04 9:00 – 3:00	Conf #3	<ul style="list-style-type: none"> • Hamid Nouri • Eugene Martinez • Magnus Karlsson • Jeff Hellzen 	Tentative
Alt 3: Technical Focus Group	2.6.2.2	<ul style="list-style-type: none"> ■ Jeff Lewis CWS/CMS ■ Lauren Barton CWS/CMS ■ Meg Sheldon CWS/CMS ■ CWS/CMS Staff 	S	01/05/05 to 01/06/05	01/05/04 10:00 – 4:00	Conf #3	<ul style="list-style-type: none"> • Hamid Nouri • Eugene Martinez • Magnus Karlsson • Jeff Hellzen 	Tentative

*Type = Federal, State, or County